

*DRAFT*  
*ICAP Auction*  
*Users Guide*

*March 2005*

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## SECTION 1.0 INTRODUCTION

### SECTION 1.1 WHAT IS THE AUTOMATED ICAP MARKET?

The NYISO Automated ICAP Market is a new, user friendly, secure, web-enabled, electronic application that replaces the manual legacy market process. The automated ICAP Market includes features that support all of the traditional auction participation requirements with respect to submitting bids, offers, and relevant auction data. The automated ICAP Market also supports the data management, retrieval, and general information requirements of participating in the ICAP market. Finally, the automated ICAP Market operates the auction, and supports all of the NYISO internal administration functions required to administer the market.

The automated ICAP Market utilizes a web interface similar to that used in the NYISO Market Information System (MIS). From the automated ICAP Market interface auction participants may enter, view and maintain bids and requisite market data. For higher volume users, the same procedures may be initiated via a batch submission (upload/download) process. Users also access the automated ICAP Market interface to view and /or retrieve auction results and other relevant market data. The automated ICAP Market incorporates many of the features of the NYISO Market Information System (MIS) interface including point of entry data validation, and around-the-clock secure and timely access to relevant market data. Users have access to a wealth of market and user-specific data including market position, ICAP/UCAP calculations, and auction activity summaries.

### SECTION 1.2 WHO IS THE AUTOMATED ICAP MARKET FOR?

The intended community for the automated ICAP Market primarily consists of buyers and sellers of capacity in New York State and may include buyers and sellers of capacity who reside outside New York State. Specifically, this User's guide is intended for:

- Load Serving Entities (LSEs) - Market Participants who are required to purchase capacity in the ICAP market to meet load plus any excess capacity determined by the Spot Market Auction.
- Marketers – Market Participants who submit bids to purchase and offers to sell capacity in the ICAP market but have neither load requirements nor generation capacity.
- Special Case Resources – Resources owned by Market Participants that represents either generation no visible to the NYISO or the ability to curtail load.
- Suppliers - Market Participants who own generation capacity and submit offers to sell that capacity in the ICAP market.
- Transmission Owners - Market Participants who are responsible for submitting loads within their transmission district.

Table 1.1 details what type of data (read-only or editable) is available to each Market Participant. Also, some of the functionality and web pages described in this document are available to the general public. Additionally, this User's Guide distinguishes between Billing Organizations and Non-Billing Organizations. Billing Organizations have established creditworthiness to participate in the NYISO UCAP Market per the provisions detailed in the NYISO Tariff. Non-Billing Organizations have not participated in the NYISO credit verification process, but rather have Billing Organization acting on their behalf for certain UCAP auction activities.

**SECTION 1.3 WHAT DOES THIS USER'S GUIDE COVER?**

The following table summarizes the functionality described in this User's Guide and the associated rights (read-only or editable) of each Market Participant with the areas of functionality.

**USER ROLES AND PRIVILEGES**

Functionality / ICAP Auction User's Guide Section	Billing Org MP	Non-Billing Org MP	TO	Public
<b>ICAP Market Event Calendar (Section 8)</b>				
How to the View Event Calendar	R <sup>1</sup>	R <sup>1</sup>	R <sup>1</sup>	R <sup>1</sup>
<b>Auction Results (Section 9)</b>				
How to View Strip / Monthly Auction Bid Results	R	R		
How to View Spot Market Auction Purchases	R	R		
How to View Offer Auction Results	R	R		
How to View Strip Auction Summary	R	R	R	R
How to View Monthly Auction Summary	R	R	R	R
How to View Spot Auction Summary	R	R	R	R
How to View Rebate Summary	R	R	R	R
<b>Bids to Purchase UCAP (Section 5)</b>				
How to Enter Bids to Purchase UCAP	R/E <sup>2</sup>			
How to Maintain and View Bids to Purchase UCAP	R/E	R		
How to Copy Bids to Purchase UCAP	R/E <sup>2</sup>			
How to View Buyer Awards	R	R		
<b>Equivalent Demand Forced Outage (EFORd) (Section 10)</b>				
How to View Seasonal EFORds	R	R		
<b>Certification (Section 4)</b>				
How to View Market Position	R	R		
How to Maintain and Enter Bilateral Agreements	R/E	R/E <sup>3</sup>		
How to View Certification Detail Transactions	R	R		
How to View Summaries of Purchases and Sales	R	R		
How to View PTID Capacity and Sales Allocations	R	R		
How to Allocate Sales to Internal PTIDs	R/E	R/E		
How to Assign Transaction ID to Sales From External Sources	R/E	R		
<b>Upload / Download<sup>4</sup> (Section 13)</b>				
Upload / Download	E	E	E	
<b>Offers to Sell UCAP (Section 6)</b>				
How to Enter Offers to Sell UCAP	R/E <sup>5</sup>			
How to Maintain Offers to Sell UCAP	R/E	R		

How to Copy Offers to Sell	R/E <sup>5</sup>			
How to View Seller Awards	R	R		
<b>Record DMNC Test Results (Section 11)</b>				
How to Maintain DMNC/PMPC Results	R/E	R/E		
How to View Monthly DMNC/PMPC	R	R		
<b>Record Load Forecasts (Section 7)</b>				
How to Record LSE Load Forecasts	R	R	R/ E <sup>6</sup>	
How to Maintain List of Transmission Owner LSE?s			R/ E	
How to View ICAP and UCAP Calculations	R	R	R	R
<b>R = Read-only</b>				
<b>E = Editable</b>				
1. Can only view calendar events marked as "external"	4. Security is controlled by the userid and password in the templates.			
2. Only grant access to this page if "Bid to Purchase" user attribute is checked.	5. Only grant access to this page if "Offer to Sell" user attribute is checked.			
3. Can only perform confirmation (see Section 4.2).	6. Can only enter data in "Load Forecast" column.			

Table 1.1

## SECTION 2.0 BACKGROUND TOPICS

### SECTION 2.1 OVERVIEW OF THE AUTOMATED ICAP MARKET

Since the start-up of the NYISO, the capacity auctions and all of the other market activities have been conducted through a predominantly manual process that included the use of spreadsheets, email, and telephone calls. Although much of the process was computer-based, this data intense process still required a considerable amount of manual intervention on the part of the Market Participants, and NYISO staff in the facilitation of the auction and the subsequent behind the scenes financial and other support processes. Being a predominantly manual process, it was also susceptible to the errors and inefficiencies typical of manual processes.

### SECTION 2.2 INTRODUCTION TO THE CAPACITY AUCTIONS

In order to ensure that New York State has adequate generating capacity available to meet the electricity demands of the state the New York Independent System Operator administers an Installed Capacity (ICAP) Market pursuant to the ISO Services Tariff. This ICAP Market provides a means for load serving entities (LSEs) to purchase their capacity obligations from suppliers to address the peak demands of their respective service territories. This market is facilitated by the NYISO through a series of auctions where capacity suppliers offer their capacity, and LSEs bid to purchase the capacity. Approximately one-third of the state's capacity requirements are traded through the NYISO-administered capacity auctions, at an annual dollar volume of approximately \$750 million.

The NYISO routinely conducts three (3) types of capacity auctions: the Capability Period Auction, the Monthly Auction, and the monthly Spot Market Auction. These auctions provide the LSEs with the opportunity to secure the required capacity and suppliers of offer their capacity in an open and competitive market environment. The product ultimately purchased in these auctions is Unforced Capacity, or UCAP, which is the net anticipated useable capacity when outages and other generator operating characteristics are considered.

Auctions are a major activity of the ICAP market in which Market Participants are engaged; however, there are many more. Transmission Owners supply load forecast information used to set the UCAP requirements of LSEs and load-shifting data to allow them to procure the correct amount of UCAP as their customer base changes. Each Market Participant (i.e., LSE, supplier, and marketer) that trades UCAP must disclose to the NYISO from whom UCAP was purchase and to whom UCAP was sold. These disclosures called certification provide the only mechanism for the NYISO to ensure that LSEs are procuring their requirements. Special Case Resources (SCRs) must be registered with the NYISO prior to participation in the ICAP market providing specific information related to their ability to curtail load when called upon. SCRs are small resource which are not visible to the NYISO and are playing a larger and larger role in the market. Each month, suppliers must provide to the NYISO generator availability data used to determine a generator's available UCAP. Finally, each Market Participant desires to track its financial position as the months pass. Detailed billing summaries including auction activities, financial true-up information as a result of load-shifting and rebates are provided prior to entry into their consolidated invoice.

Additional information concerning NYISO capacity requirements and the Capacity Market is available in the NYISO Installed Capacity Manual located on the NYISO web site at:  
[http://www.nyiso.com/services/documents/manuals/pdf/planning\\_manuals/icap\\_mnl.pdf](http://www.nyiso.com/services/documents/manuals/pdf/planning_manuals/icap_mnl.pdf)

## SECTION 3.0 REQUIREMENTS

### SECTION 3.1 SYSTEM REQUIREMENTS

The following items are required to run the Open Scheduling System:

- Microsoft Windows (95, 98, NT, 2000 (w/ SP2), XP, or ME)
- Microsoft Internet Explorer (version 5.1 or higher) OR Netscape Navigator (version 4.5 or higher)
- Minimum 1024x768 screen resolution
- Java Browser Plug-in (version 1.4 or higher). The AIM has been optimized for Java Browser Plug-in v1.4.1\_01.
- A NYISO authorized Digital Certificate
- Internet connection with a recommended connection of at least 56kbps

### SECTION 3.2 INSTALLING THE SUN JAVA PLUG-IN (FOR MICROSOFT WINDOWS 95, 98, NT, 2000, XP, OR ME)

Note: To install the Java plug-in, you must have administrator privileges on your system. If you do not have administrator privileges, or are not sure if you do, stop and contact your system administrator before continuing.

1. Go to <http://java.sun.com/j2se/1.4/download.html>
2. Select Windows (U.S. English only) from the download list.
3. Accept the terms and conditions of license.
4. Click on the file name displayed in the window to download it to your system.
5. Your browser may prompt you to open the file once it has downloaded. Click "Open" if prompted. Otherwise, go to the location where you saved the file and open it manually.
6. The program install sequence will begin.
7. Click "Yes" to agree to the licensing information.
8. Click "Next" to install the plug-in to the default folder.
9. Select the browser(s) you want to enable the plug-in under. If you use both Netscape and Internet Explorer, it would be a good idea to enable the plug-in for both.
10. Click "Next" and the install sequence will finish.
11. Close your browser and restart it to load the plug-in.

### SECTION 3.3 USING DIGITAL CERTIFICATES

For more information on digital certificates (including applying, exporting, obtaining, installing, and validating) please see Section 4.4 of the Market Participant's Users Guide (MPUG).

### SECTION 3.4 PROCEDURAL OVERVIEW OF THE AIM

Under development

### SECTION 3.4 AIM PROCESS FLOW

Under development

## SECTION 4.0 CERTIFICATION

This section describes how ICAP suppliers may certify the UCAP which they are supplying and how LSEs may certify the amount of Unforced Capacity they have obtained for the upcoming Obligation Procurement Period. These processes are described in greater detail in section 3.4 and section 4.7 of the Installed Capacity Manual. This section describes the following functionality:

- How to View Market Position
- How to Enter, Maintain and Confirm Bilateral Agreements
- How to Assign Sold Capacity to PTID's
- How to Assign MIS Transaction ID's to Sales from External PTID's
- How to View Confirmed Bilateral Agreements and Summarized Auction Results Details
- How to View Summarized Bilateral Agreements and Auction Results
- How to View Activity and Remaining Capacity of PTID's

Download templates for certification functions are described in section 13.5 of this Users' Guide.

The functionality described in this section assumes that DMNC test results have been recorded (Section 11), EFORd values have been calculated (Section 10), and load forecasts have been recorded (Section 7).

The features described in this chapter are all accessible from the "Certify" option of the main horizontal menu bar:

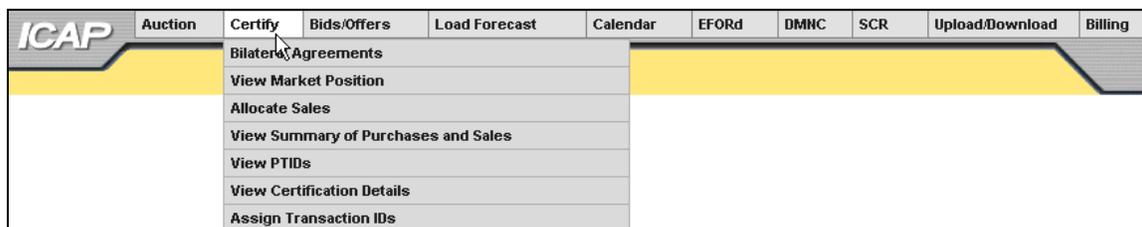


Figure 4.1

## SECTION 4.1 HOW TO VIEW MARKET POSITION

Users may view their own data ordered by location, purchases and sales, requirements (long or short), excess capacity, and overall position. To utilize this feature, users may select "View Market Position" from the "Certify" drop-down menu displayed in figure 4.1.

### SECTION 4.1.1 SCREEN DESCRIPTIONS

#### YELLOW MENU BAR

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based MP name.
Season	Text	Y	Defaults to Capability Season associated with month default.

Month	Date	Y	Defaults to auction month associated with the Certification start date closest to but less than or equal to the system date. Only months where bilaterals can be entered may be selected.
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Table 4.1

**“POSITION SUMMARY” SCREEN SECTION**

Screen Field	Data Type	Editable	Description
Location	Text	N	List of all unique locations.
Purchases	Numeric	N	Sum of all confirmed purchased MW's (bilaterals and auctions) for the MP and Month specified and the Location listed that are not allocated to PTID's.
Sales Allocated to Purchases	Numeric	N	Sum of all confirmed sold MW's for the Location listed.
Requirements	Numeric	N	UCAP requirements for the the Location listed (valid for LI, NYC, and ROS).
Generator Capacity	Numeric	N	Sum of Available for Sale UCAP Capacity of all PTID's for the MP and Month specified and the Location listed.
Sales Allocated to Generators	Numeric	N	Sum of confirmed sold MW's allocated to PTID's for the MP and the Location listed.
Excess Capacity	Numeric	N	Generator Capacity minus Sales Allocated to Generators.
Overall Position Long / (Deficient)	Numeric	N	Purchases less Sales Allocated to Purchases less Requirements.

Table 4.2

After selecting “Season” and “Month” (detailed in Table 4.1) and clicking the “Display” button, the “Position Summary” screen, summarizing data ordered by internal locations followed by external locations, will appear.

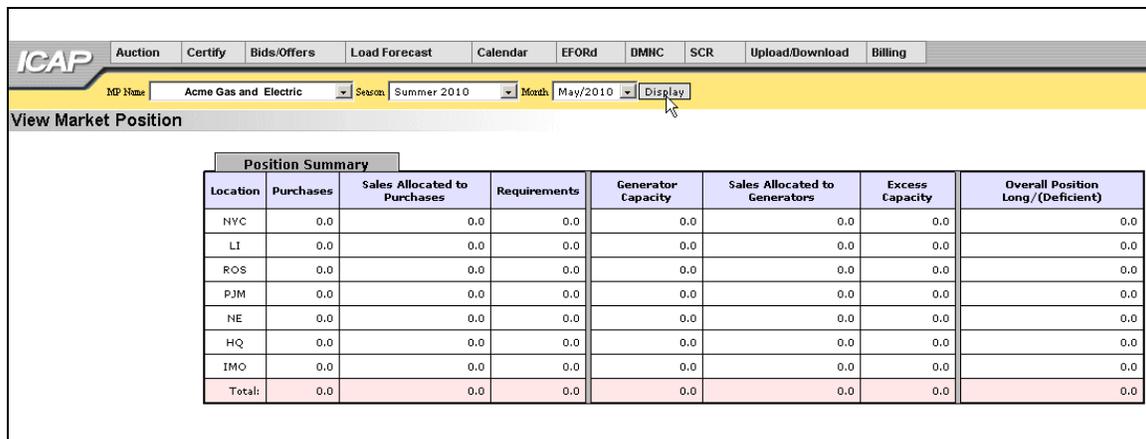


Figure 4.2

## SECTION 4.2 HOW TO ENTER AND MAINTAIN BILATERAL AGREEMENTS

This feature, accessible from the Certify drop-down menu under the “Bilateral Agreements” option, allows users to enter, maintain, and confirm bilateral agreements. Bilateral agreements are entered by a Market Participant and confirmed by the corresponding Market Participant to the agreement. Only unconfirmed bilateral agreements are displayed in the functionality described in this section. Confirmed bilateral agreements are discussed in Section 4.3. The unconfirmed bilateral agreement can only be modified by the user who entered it and only MW values can be changed.

In order to enter, maintain and delete bilaterals, users must be from a Billing Qualified organization with “Certify” privileges. In order to confirm bilateral agreements, users must be from a Billing or non-Billing Qualified organization with “Certify” privileges.

In order to self-supply any ICAP requirements, users must first enter the required MWs as a bilateral agreement with themselves listed as both the buying and selling party. Such transactions are automatically confirmed by the system (that is for all self-supplied UCAP, users may effectively bypass the functionality described in Section 5.2.5). After the transaction is confirmed by the system, users may allocate sales to PTIDs, as described in Section 4.5.2.

Additionally, if the capacity that was purchased on an Import Right is resold on a bilateral agreement, only the seller can enter the agreement into the auction system. The system will not allow the capacity on the bilateral agreement to exceed the net available capacity of the Import Right. Awarded offers and confirmed bilateral agreements specifying that “Import Right #” are subtracted from the confirmed bilateral agreement purchased capacity on that “Import Right #” to determine the net available capacity on that “Import Right #.”

Per NYISO market rules, the owner of mitigated capacity cannot sell that mitigated capacity through a bilateral agreement. However, if another user purchases mitigated capacity through an auction, that capacity can be resold through a bilateral by specifying the appropriate mitigated generator group of the capacity.

### SECTION 4.2.1 SCREEN DESCRIPTIONS

#### YELLOW MENU BAR

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based MP name.
Month	Date	Y	Defaults to auction month associated with the Certification Start Date closest to but less than or equal to the system date and the End Date greater than the system date.

Table 4.3

**“INSERT BILATERAL AGREEMENT” SCREEN SECTION**

Screen Field	Data Type	Editable	Description
Purchase / Sale	Text	Y	Select either Purchase or Sale.
Location	Text	Y	Select from list of internal locations (bilateral agreements for external capacity are created by the NYISO).
2 <sup>nd</sup> Party	Text	Y	Select from list of Market Participants.
Import Right #	Text	Y	Select from list. List consists of unique Import Right #'s on confirmed bilateral agreement purchases for the MP performing the insert. This field is optional.
Mitigated Generator Group	Text	Y	Select from list of Mitigated Generator Groups tied to the Location selected excluding Mitigated Generator Groups tied to PTID's owned by the MP. This field is optional.
MW	Numeric	Y	Number of MW's either purchased or sold on the bilateral agreement. (Format 9999.9)

Table 4.4

**“MAINTAIN UNCONFIRMED AGREEMENTS” SCREEN SECTION**

Screen Field	Data Type	Editable	Description
Purchase / Sale	Text	N	Identifies whether the bilateral agreement is a purchase or sale.
Location	Text	N	Location of capacity.
2 <sup>nd</sup> Party	Text	N	MP that capacity was purchased from or sold to.
Import Right #	Text	N	Unique identifier of Import Right or UDR that allows an MP to purchase external capacity for an internal location or to violate the flow Descriptions.
Mitigated Generator Group	Text	Y	Select from list of Mitigated Generator Groups tied to the Location selected excluding Mitigated Generator Groups tied to PTID's owned by the MP. This field is optional.

MW	Numeric	Y	Purchased or Sold MW's. Can be negative values (relinquishing Import Right capacity results in a bilateral being created with negative MW's - done in Administer Import Rights and UDR's use case).
Confirmed By MP	Text	N	Indicates if the MP has confirmed the bilateral agreement (automatically confirmed for MP that enters the bilateral agreement).
Confirmed By 2 <sup>nd</sup> Party	Text	N	Indicates if the 2 <sup>nd</sup> Party has confirmed the bilateral agreement.
Last Updated By	Text	N	Identifies who last updated the bilateral agreement purchase or sales data.
Last Update Date	Date / Time	N	Date the bilateral agreement purchase or sales data was last updated.

Table 4.5

### SECTION 4.2.2 INSERTING BILATERAL AGREEMENTS

Users may add bilateral agreements by selecting the appropriate "Month" in the yellow menu bar and clicking "Display" and then by selecting the tab labeled "Insert Bilateral Agreement" at the top of the Maintain Bilateral Agreement screen:

Insert Bilateral Agreement					
Purchase / Sale	Location	2nd Party	Import Right #	Mitigated Generator Group	MW
Purchase	NYC	Acme Generating Co., L.P.		Mit. Gen. Co.	25
Save					

Figure 4.4

To add bilateral agreements users should select the following parameters: "Purchase / Sale", "Location", "2<sup>nd</sup> party", "Import Right #", "Mitigated Generator Group", and "MW" value. The transaction is saved by clicking the "Save" button. The screen will automatically refresh and the newly inserted bilateral agreement will be displayed in the "Maintain Unconfirmed Agreements" window. Users should note that bilaterals may only be confirmed by the Market Participant who entered the agreement, but not by the second party to the agreement.

Also, "Import Right #" can only be entered for a sale, not a purchase; the MWs cannot exceed the remaining MW value for the Import Right. Also, generator-owned mitigated capacity cannot be sold to a different Market Participant.

### SECTION 4.2.3 MAINTAINING BILATERAL AGREEMENTS

Utilizing this feature, users may change the MW value of existing unconfirmed bilateral agreements that they have entered (before it has been confirmed by the 2<sup>nd</sup> Part Market Participant). In order to retrieve and display all applicable bilateral agreements, users must select a month and click "Display" in the yellow menu bar. These fields are described in Table 4.3. The following screen will appear:

Purchase / Sale	Location	2nd Party	Import Right #	Mitigated Generator Group	MW	Confirmed by MP	Confirmed by 2nd Party	Last Updated By	Last Update Date	Delete
Purchase	LI				23.0	<input type="checkbox"/>	<input type="checkbox"/>		10-Mar-2005 03:41 PM	<input checked="" type="checkbox"/>

Figure 4.3

Any data pertaining to the second party and any data other than the MW value of the agreement are not editable.

Users change MW values by typing the new value into the MW column in the "Maintain Bilateral Agreements" tab and selecting "Save." Users wishing to modify any other fields must delete the bilateral and re-enter the information. If users make a change without saving the change and attempt to proceed to another screen, the following message will appear: "Changes made. Continue?"

### SECTION 4.2.4 DELETING BILATERAL AGREEMENTS

Users may delete bilaterals by selecting the delete check box in the far right of the screen displayed in Figure 4.3 and then clicking the save button. The refreshed screen will no longer display those bilateral agreements selected for deletion.

### SECTION 4.2.5 CONFIRMING BILATERAL AGREEMENTS

This screen displayed in Figure 4.3 allows the party that did not enter the bilateral agreement to confirm the transactions. Users should check the "Confirmed by MP" check box in the "Maintain Out of Balance Agreement" window and select the "Save" button. The screen will automatically refresh and confirmed bilateral agreements will no longer display.

## SECTION 4.3 HOW TO VIEW CERTIFICATION DETAIL TRANSACTIONS

The "View Certification Details" option on the Certify drop-down menu allows users to view all of their internal and external transactions for the month, including all confirmed bilateral agreements entered by a user, all confirmed bilaterals to which the user is the 2<sup>nd</sup> party, and summarized auction offer and bid awards by auction type, location, and mitigated generator group. The method for viewing unconfirmed bilaterals is described above in section 4.2.1.

## SECTION 4.3.1 SCREEN DESCRIPTIONS

## YELLOW MENU BAR

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults to MP Name.
Season	Text	Y	Defaults to Capability Season associated with month default.
Location	Text	Y	List of all internal and external locations; defaults to "ALL".
Month	Date	Y	Defaults to auction month associated with the Certification start date closest to but less than or equal to the system date.

Table 4.6

## "AUCTION AND BILATERAL AGREEMENT TRANSACTIONS" SCREEN SECTION

Screen Field	Data Type	Editable	Description
Location	Text	N	Location purchase is for or location sale is being made from.
2 <sup>nd</sup> Party	Text	N	For bilateral agreements, party that is selling or purchasing capacity to or from the MP selected. For auctions, shows auction type. Auction Types are Strip, Spot and Monthly. Monthly will be shown for each Auction Month from the beginning of the Season up to and including the month being viewed.
Right #	Text	N	Number associated with either an import right or UDR.
Type	Text	N	"I" for Import, "U" for UDR.
Mitigated Generator Group	Text	N	Mitigated Generator Group for the purchase or sale.
Purchased MW	Numeric	N	Purchased MW for bilateral agreements. For auctions, sum of bid awards for the bid month equal to the month selected broken down by Location and Auction Type.

Sold MW	Numeric	N	Sold MW for bilateral agreements. For auctions, sum of offer awards for the offer month equal to the month selected broken down by Location and Auction Type.
Last Updated By	Text	N	Last user to update the bilateral. This field is blank for auctions
Last Updated Date	Date	N	Date bilateral agreement was last updated. This field is blank for auctions

Table 4.7

### SECTION 4.3.2 VIEWING CERTIFICATION DETAIL TRANSACTIONS

When users select the parameters described in table 4.6 (season, location, and month) and then click the “Display” button the following screen will appear summarizing the data:

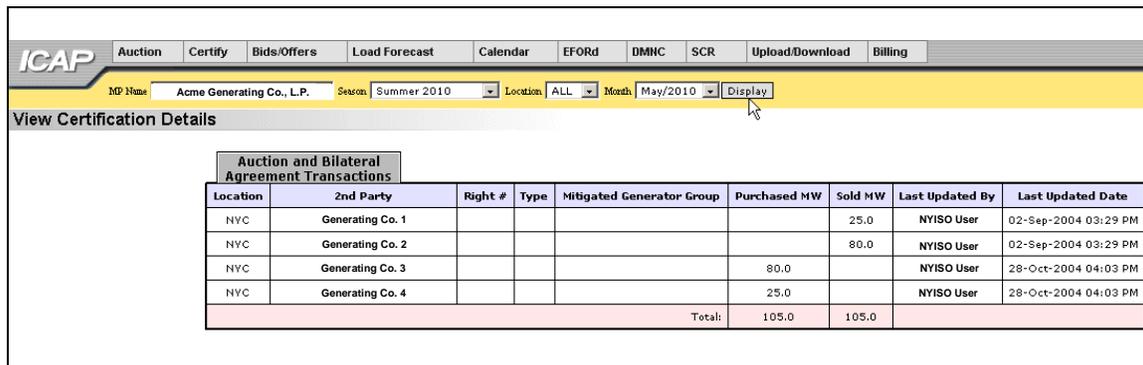


Figure 4.5

### SECTION 4.4 HOW TO VIEW SUMMARIES OF PURCHASES AND SALES

The purchases and sale summary screen displays higher level details than the functionality described in Section 4.3. Confirmed bilateral agreement sales and purchases are summarized for each location and mitigated generator group. Awarded auction sales and purchases are summarized for each individual auction (i.e. – Strip, May Monthly, June Monthly, etc.), location and mitigated generator group.

#### SECTION 4.4.1 SCREEN DESCRIPTIONS

##### YELLOW MENU BAR

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults to MP Name.
Season	Text	Y	Defaults to Capability Season associated with month default.

Month	Date	Y	Defaults to auction month associated with the Certification start date closest to but less than or equal to the system date.
-------	------	---	--

Table 4.8

**“SALES SUMMARY” SCREEN SECTION**

Screen Field	Data Type	Editable	Description
Type	Text	N	Type = “Bilateral Agreements” or “Strip Auction Sales” or “Monthly Auction Sales – MON” where MON is the Auction Month having Offer Month = to the Month in the Data Selection window (a separate row would show for each Auction Month).
Location	Text	N	Location for which MW sales are not equal to zero for at least one offer month equal to the Month and MP specified in the Data Selection window.
Mitigated Generator Group	Text	N	Mitigated Generator Group for which MW sales are not equal to zero for at least one offer month equal to the Month and MP specified in the Data Selection window.
MW	Numeric	N	For auction types, sum of auction awarded sales for offer months equal to the month selected and for the Location and Mitigated Generator Group. For bilateral agreements, sum of confirmed bilateral agreement sales for the month, Location and Mitigated Generator Group.

Table 4.9

**“PURCHASE SUMMARY” SCREEN SECTION**

Screen Field	Data Type	Editable	Description
Type	Text	N	Type = “Bilateral Agreements” or “Strip Auction Purchases” or “Monthly Auction Purchases – MON” where MON is the Auction Month having Bid Month = to the Month in the Data Selection window (a separate row would show for each Auction Month).

Location	Text	N	Location for which MW purchases are not equal to zero for at least one bid month equal to the Month and MP specified in the Data Selection window.
Mitigated Generator	Text	N	Mitigated Generator Group for which MW purchases are not equal to zero for at least one bid month equal to the Month and MP specified in the Data Selection window.
MW	Numeric	N	For auction types, sum of auction awarded bids for bid months equal to the month selected and for the Location and Mitigated Generator Group. For bilateral agreements, sum of confirmed bilateral agreement purchases for the month, Location and Mitigated Generator Group.

Table 4.10

SECTION 4.4.2 VIEWING SUMMARIES OF PURCHASES AND SALES

After selecting “View Summary of Purchases and Sales” in the Certify drop-down menu and choosing season, month and clicking the “Display” button, the “View Summary of Purchases and Sales” screen will appear. This screen summarizes data based on Type, Location, and Mitigated Generator Group:

**View Summary of Purchases and Sales**

MP Name: XX Generating Co. Season: Summer 2010 Month: May/2010 Display

Type	Location	Mitigated Generator Group	MW
Bilateral Agreements	NYC		105.0
Monthly Auction Sales - MAY	NYC	Mit. Gen.	701.2
Monthly Auction Sales - MAY	NYC		0.0
Monthly Auction Sales - MAY	ROS		0.0
Spot Auction Sales	NYC		71.2
Strip Auction Sales	NYC	Mit. Gen.	1,141.5
Strip Auction Sales	NYC		0.0
Total:			2,018.9

Type	Location	Mitigated Generator Group	MW
No data matches your filter criteria.			

Figure 4.4

**SECTION 4.5 HOW TO VIEW PTID CAPACITY AND SALES ALLOCATIONS**

Users must select "View PTIDs" from the "Certify" drop-down menu option to view the capacity and sales allocations for each PTID associated with a billing organization,. For each PTID, both capacity available for sale and ICAP sold for the Day-Ahead Market are calculated.

**SECTION 4.5.1 SCREEN DESCRIPTIONS****YELLOW MENU BAR**

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults to MP Name.
Season	Text	Y	Defaults to Capability Season associated with month default.
Month	Date	Y	Defaults to auction month associated with the Certification start date closest to but less than or equal to the system date.

Table 4.11

**"SUMMARY OF CAPACITY AND SALES ALLOCATION" SCREEN SECTION**

Screen Field	Data Type	Editable	Description
PTID	Text	N	All PTID's and SCR's associated with the Name shown in the Data Selection window.
Name	Text	N	PTID/SCR name.
Location	Text	N	Location based on Source.
Mitigated Generator Group	Text	N	Mitigated Generator Group to which the PTID belongs.
Capacity (DMNC)	Numeric	N	Capacity of the PTID for the selected month.
EFORd %	Numeric	N	Effective forced outage rate (expressed as a percentage) for the PTID for the month selected.
Available For Sale UCAP	Numeric	N	Available for sale UCAP for the PTID. Equals DMNC times (1 minus the decimal equivalent of EFORd associated with the month selected).
Auction and Bilateral Sales	Numeric	N	Sum of Allocated Auction and Bilateral Agreement Sales to the PTID/SCR and for the month specified in the Data Selection window.
Supplemental Sales	Numeric	N	Sales entered by Resource Reliability in the auction module.
Unsold	Numeric	N	Calculated as Available for Sale UCAP less Auction and Bilateral Sales less Supplemental Sales.

ICAP Sold for DAM	Numeric	N	Calculated as (Auction and Bilateral Sales plus Supplemental Sales) divided by (1 minus the decimal equivalent of EFORD).
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Table 4.12

### SECTION 4.5.2 VIEWING PTID CAPACITY AND SALES ALLOCATIONS

After selecting “Season and “Month” and clicking the “Display” button, the “Summary of Capacity and Sales Allocation” window will appear:

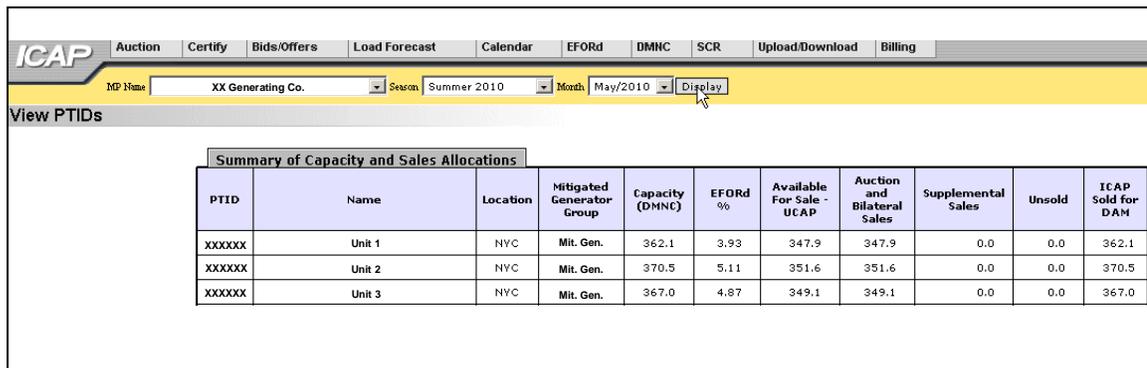


Figure 4.5

### SECTION 4.6 HOW TO ALLOCATE SALES TO PTIDS

This screen will be read-only unless users have “Certify” privileges for a Billing Organization.

Through the “Allocate Sales” option on the “Certify” menu, users may allocate sales for confirmed bilateral agreements and auctions to PTID’s. Confirmed bilateral agreement sales and awarded auction sales sorted by location and mitigated generator group are displayed. Sales from external locations are protected from updates. When sales are allocated to each PTID, users cannot over-allocate what is already shown in the summary screen above. Conversely, under-allocating sales will result in the unallocated sales being applied against purchases in the View Market Position screens (section 4.1).

#### SECTION 4.6.1 SCREEN DESCRIPTIONS

##### YELLOW MENU BAR

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults to MP Name.
Season	Text	Y	Defaults to Capability Season associated with month default.
Location	Text	Y	List of all internal and external locations; defaults to “ALL”.

Month	Date	Y	Defaults to auction month associated with the Certification start date closest to but less than or equal to the system date.
Mitigated Generator Group	Text	Y	List of all mitigated generator groups; defaults to "ALL"

Table 4.13

**"LOCATION SALES SUMMARY" SCREEN SECTION**

Screen Field	Type	Editable	Description
Location	Text	N	Lists all locations for which there are either confirmed bilateral agreement sales or auction awarded sales.
Mitigated Generator Group	Text	N	Mitigated Generator Groups for which there are either confirmed bilateral agreement sales or auction awarded sales for the location listed.
Auction and Bilateral Sales	Numeric	N	Sum of confirmed bilateral sales and auction awarded sales for the Location and Mitigated Generator Group.
Unallocated Balance	Numeric	N	Sum of confirmed bilateral sales and auction awarded sales minus Allocated Sales for the Location and Mitigated Generator Group.

Table 4.14

**"SALES ALLOCATION" SCREEN SECTION**

Screen Field	Type	Editable	Description
Location	Text	N	Location for the PTID.
Mitigated Generator Group	Text	N	Mitigated Generator Group for the PTID.
Name	Text	N	PTID Number and Name
Available UCAP	Numeric	N	Capacity of the PTID for the Month specified (see View PTID's for calculation of Available for Sale UCAP Capacity).
Allocated Auction and Bilateral Sales	Numeric	Y	Amount of sales to allocate to the PTID for the month.
Unsold UCAP	Numeric	N	Available UCAP minus Allocated Auction and Bilateral Sales.

Last Updated By	Text	N	User who last updated the Allocation.
Last Update Date	Text	N	Date Allocation was last changed.

Table 4.15

### SECTION 4.6.2 ALLOCATING SALES TO PTIDS

After selecting the parameters described in table 4.13 (Season, Location, Month, and Mitigated Generator Group) and clicking the “Display” button the “Location Sales Summary” and “Sales Allocations” tabs will appear on the screen:

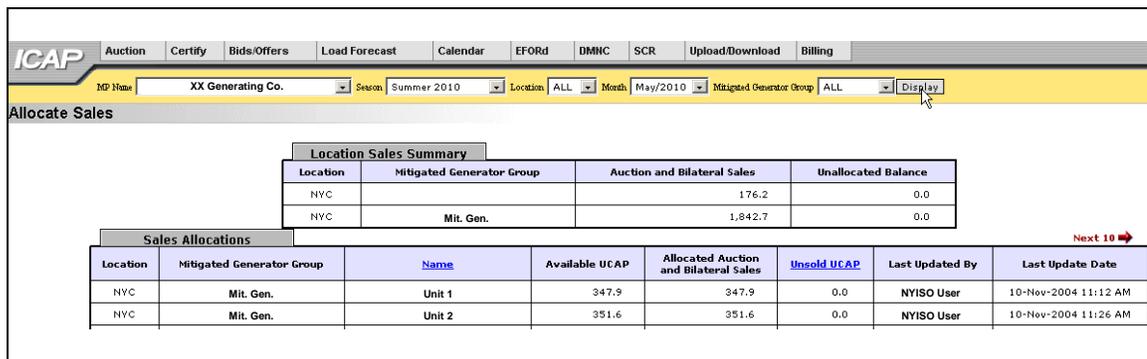


Figure 4.6

The data summarized on these screens is sorted by PTID and may be sorted by unsold UCAP by clicking on the “Unsold UCAP” column heading. Data for external locations is not editable. Users may change the values for “Allocated Auction and Bilateral Sales” for each PTID by entering new values and clicking the “Save” button. However, if the actual date is greater than Certification Close Date for Month selected, the data is not editable.

For a given Location and Mitigated Generator Group the allocated sales cannot exceed the “Auction and Bilateral Sales” column in the summary. Likewise, “Allocated Auction and Bilateral Sale” cannot exceed PTID “Available UCAP”. After a user saves changed values, unallocated balance, allocated auction, and bilateral sales are recalculated for each PTID and displayed in the “Sales Allocation” tab. Additionally, recalculated unallocated balance is displayed in the “Location Sales Summary.”

Users should note the “Next Ten” and “Previous Ten” buttons at the top of the “Sales Allocation” tab. These buttons allow users to scroll through additional records. However, users cannot proceed to additional or previous screens until all changes are saved to the current record screen set.

## SECTION 4.7 HOW TO ASSIGN A TRANSACTION ID FROM SALES TO EXTERNAL SOURCES

PTIDs are required for offers that have been submitted for external capacity and for confirmed bilateral agreements created from the granting of import rights. When bids and offers are certified, users must provide a Transaction ID in the NYISO Market Information System (MIS) for each external PTID that has sales. By selecting “Assign Transaction IDs” in the Certify menu, users may assign transactions IDs to external sales directly through the auction software.

### SECTION 4.7.1 SCREEN DESCRIPTIONS

**DATA SELECTION OPTIONS IN YELLOW MENU BAR** – see table 4.11

#### “SALES EXTERNAL SOURCES” SCREEN SECTION

Screen Field	Type	Editable	Description
Transaction ID	Text	Y	Transaction ID in MIS. Select from list associated with the MP.
External Location	Text	N	External Location for the PTID.
External PTID	Text	N	External PTID having either confirmed or awarded sales MW.
Right #	Numeric	N	Import Right or UDR #.
UCAP Sale MW	Numeric	N	Awarded and Confirmed Sales for the PTID (and Right # if present).
ICAP Sale MW	Numeric	N	UCAP Sale MW converted to ICAP (UCAP Sale MW divided by (1-decimal equivalent of EFORD)).

Table 4.16

### SECTION 4.7.2 ASSIGNING TRANSACTION ID FROM SALES TO EXTERNAL SOURCES

After selecting “Assign Transaction IDs”, users must select season and month. After clicking “Display” the following screen will appear:

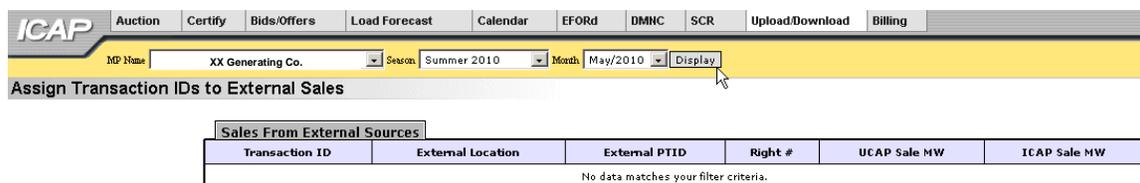


Figure 4.7

The screen will display 1) all confirmed initial Import Right sales and awarded auction sales for external locations 2) sales From External Sources data sorted by External Location and PTID. Users may select a transaction ID for each sale and click the “Save” button to save the data. A refreshed screen will appear that contains all transaction IDs. Users should note that if the Spot Market Auction associated with the Month selected has already run, the data on this screen is not editable.

## SECTION 5.0 BIDS TO PURCHASE UCAP

This section describes how Market Participants who are bidding to purchase UCAP may perform the follow functions:

- How to Enter Bids
- How to Maintain and View Bids
- How to Copy Bids
- How to View Buyer Awards

The functionality described in this section is also available through Upload/ Download templates. Users may refer to Section 14.2 – Templates for Bids to Purchase.

Users may only enter, modify, or delete bids while the bid period is open.

### SECTION 5.1 HOW TO ENTER BIDS TO PURCHASE UCAP

The functionality in this section is only available when an organization is Billing Qualified and the user has “Bid to Purchase” privileges.

Market Participants may create bids to purchase UCAP for the strip and monthly auction; the Spot Market auction is not eligible to accept bids to purchase UCAP. Each bid to purchase UCAP submitted into the strip auction is considered a bid to purchase UCAP in each month within the capability season of the current strip auction. Each bid to purchase UCAP submitted into the monthly auction is considered a bid to purchase UCAP only in the month specified in the selected bid month. All bid MWs must be greater than 0.0 and must be entered to a tenth of a MW. The bid price (displayed in \$/KW/Month) must be greater than or equal to \$0.00 and must be entered to the cent. Market Participants should note that bids will only be accepted during open bid submittal periods as defined in the calendar. The number of bids cannot exceed the maximum bid limit for each bid month for the auction.

#### SECTION 5.1.1 SCREEN DESCRIPTIONS

##### YELLOW MENU BAR AND ENTER BIDS SCREEN SECTION

Screen Field	Data Type	Editable	Description
MP Name	Text	Y	Defaults based MP name.
Auction Type	Text	Y	Defaults to current open auction type.  Select from list of open auction types. List consists of Strip and Monthly.
Auction Month	Text	Y	Defaults to current open auction month of selected auction type and season.  If Strip auction, selection list only consists of first month of open capability season. (e.g., May 03 or Nov 03)  If Monthly auction, selection list consists of

			open auction months.
Bid Month	Text	Y	Defaults to Auction Month.  For Strip auction, cannot be modified.  For Monthly Auction, selection list consists of open months within the capability season.
Eastern Time	Date/Time	N	Current date and eastern time.
Bid Period Closes	Date/Time	N	Date and time the bid submittal period closes for the selected auction.
Total Bid Exposure for Month	Numeric	N	The maximum amount of money that could be owed for the bid month based upon saved bids for the selected bid month. For Strip Auctions, this value will be 1/6 of Total Bid Exposure for Auction.
Total Bid Exposure for Auction	Numeric	N	The maximum amount of money that could be owed based upon saved bids for the selected auction.
Posted Collateral	Numeric	N	Posted Collateral as supplied by the NYISO Credit Department.
Unpaid Awarded Bids	Numeric	N	Calculated as all awarded bids (from previous auctions) that have not been paid.
Total Bid Exposure	Numeric	N	Equal to the sum of Total Bid Exposures of any open auctions minus any unpaid awarded offers.
Available Collateral	Numeric	N	Calculated as Posted Collateral – Unpaid Awarded Bids – Total Bid Exposure
Location	Text	Y	Select from a list of all internal locations. (all external locations will have an internal requirements location)
Bid MW	Numeric	Y	Bid MW (format 9999.9)
Bid \$/KW/Month	Numeric	Y	Bid Price (format 999.9)
Bid Total	Numeric	N	Calculated as Bid MW * Bid \$/KW/Month * 1000

Table 5.1

SECTION 5.1.2 ENTERING BIDS

Users may access the Bids to Purchase screens through the main horizontal menu:

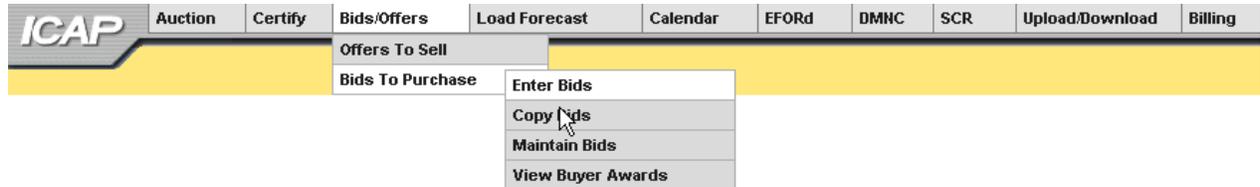


Figure 5.1

The following screen, through which users can enter bids, will appear:

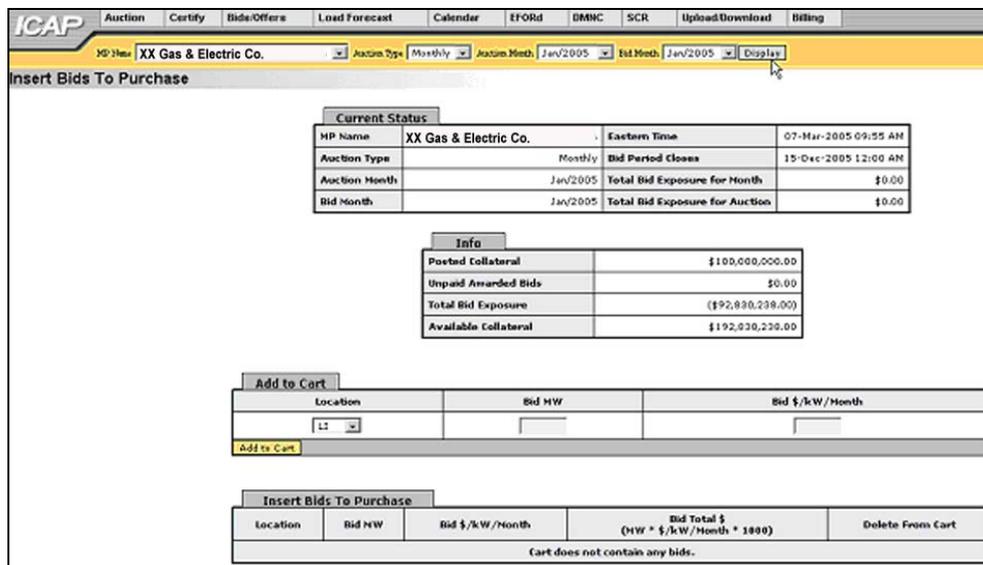


Figure 5.2

On this screen, users may add up to 10 bids to a shopping cart before saving them in the system. They may specify auction type (strip or monthly), auction month, and bid month (for monthly auctions only). After selecting these bidding parameters, users should click the “Display” button at the top of the screen:

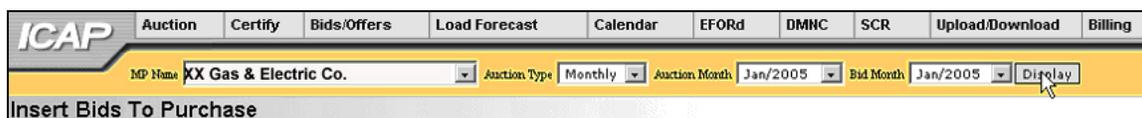


Figure 5.3

The screen that appears will display the following information: a summary of auction data, Total Bid Exposure for Month for selected Auction and Bid Month, Total Bid Exposure for Auction for the selected Auction, Posted Collateral, Unpaid Awarded Bids, Total Bid Exposure, and Available Collateral. This data is displayed in the tabs marked “Current Status” and “Info.”

Current Status			
MP Name	XX Gas & Electric Co.	Eastern Time	07-Mar-2005 09:55 AM
Auction Type	Monthly	Bid Period Closes	15-Dec-2005 12:00 AM
Auction Month	Jan/2005	Total Bid Exposure for Month	\$0.00
Bid Month	Jan/2005	Total Bid Exposure for Auction	\$0.00

Info	
Posted Collateral	\$100,000,000.00
Unpaid Awarded Bids	\$0.00
Total Bid Exposure	(\$92,830,238.00)
Available Collateral	\$192,830,238.00

Figure 5.4

Market Participants cannot submit bids to purchase UCAP that could result in awards that exceed the available collateral displayed in Figure 5.4.

To enter a bid to purchase UCAP, users must select the following parameters in the “Add to Cart” tab (enumerated in Table 5.1): a location from the drop-down list (LI, NYC, and ROS), bid MW ( $\geq 0.1$  and entered to a tenth of a MW), and bid \$/ KW/ month ( $\geq 0.00$  and entered to the cent). The bid is added to the cart, but not yet permanently saved, by clicking the “Add to Cart” button:

Add to Cart		
Location	Bid MW	Bid \$/kW/Month
ROS	30	2
<input type="button" value="Add to Cart"/>		

Figure 5.5

The tab appearing at the bottom of the screen “Insert Bids to Purchase” summarizes bid data. By clicking the “Save” button, users may save their bid submission:

Insert Bids To Purchase				
Location	Bid MW	Bid \$/kW/Month	Bid Total \$ (MW * \$/kW/Month * 1000)	Delete From Cart
ROS	30.0	\$2.00	\$60,000.00	
Total			\$60,000.00	
<input type="button" value="Save"/>				

Figure 5.6

After entering bids into the shopping cart, the user save them in the system by selecting “Save”. A confirmation message will appear stating “Successfully saved xx records to the database” where xx is the number of records in the shopping cart.

Before saving, users may delete bids from the shopping cart by selecting the trash icon in the "Delete from Cart" column as displayed in figure 5.6. If users attempt to leave the "Insert Bids to Purchase" screen with unsaved data in the cart, a message will display prompting, "You are about to delete data from your cart. Continue?" Responding "Ok" will delete all bids from the shopping cart. Responding "Cancel" will allow the user to continue working in this screen.

Users wishing to delete, maintain, or view bids after the bids are saved should refer to section 5.2.

### SECTION 5.2 HOW TO MAINTAIN AND VIEW BIDS TO PURCHASE UCAP

The screens described in this section will be read-only for non-billing qualified organizations and users without "Offer to Sell" privileges.

Users may modify and edit offers that have been successfully saved by selecting "Maintain Bids" in the Bids/ Offers menu. For instance, all bids entered as described in section 5.1 would appear and be available for editing using this functionality.



Figure 5.7

The following screen will appear:

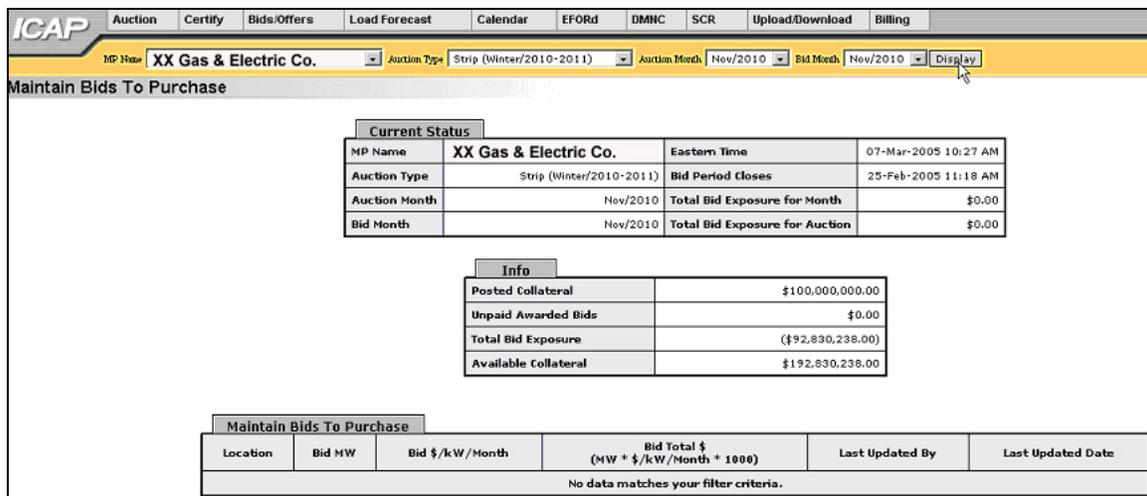


Figure 5.8

## SECTION 5.2.1 SCREEN DESCRIPTIONS

## YELLOW MENU BAR AND MAINTAIN BIDS TO PURCHASE SCREEN SECTIONS

Screen Field	Data Type	Editable	Rule
MP Name	Text	Y	Defaults based MP name.
Auction Type (and Season)	Text	Y	Defaults to current auction.  Select from list of auction types. List consists of Strip and Monthly.
Auction Month	Text	Y	Defaults to current open auction month of selected auction type and season if auction period open, otherwise defaults to first month of the selected auction type for the selected capability season.  If Strip auction, selection list only consists of first month of the selected capability season. (e.g., May/03 or Nov/03)  If Monthly auction, select from list of all months within the selected capability season
Bid Month	Text	Y	Defaults to Auction Month.  If Strip auction, cannot be modified.  If Monthly auction, select from list of all valid months within the applicable capability period.
Eastern Time	Date/Time	N	Current date and eastern time
Bid Period Closes	Date/Time	N	Date and time the bid submittal period closes for the selected auction.
Total Bid Exposure for Month	Numeric	N	The maximum amount of money that could be owed for the bid month based upon saved bids for the selected bid month. For Strip Auctions, this value will be 1/6 of Total Bid Exposure for Auction.
Total Bid Exposure for Auction	Numeric	N	The maximum amount of money that could be owed based upon saved bids for the selected auction.
Posted Collateral	Numeric	N	Posted Collateral as supplied by the credit department.
Unpaid Awarded Bids	Numeric	N	Calculated as all awarded bids that have not been paid
Total Bid	Numeric	N	Equal to the sum of Total Bid Exposures of

Exposure			any open auctions minus any unpaid awarded offers.
Available Collateral	Numeric	N	Calculated as Posted Collateral – Unpaid Awarded Bids - Total Bid Exposure
Location	Text	Y	Select from a list of all internal locations. All external locations will specify an internal location
Bid MW	Numeric	Y	Bid MW (format 9999.9)
Bid \$/KW/Month	Numeric	Y	Bid Price (format 999.9)
Bid Total	Numeric	N	Calculated as Bid MW * Bid \$/KW/Month * 1000
Last Updated By	Text	N	Identification of last person that updated the bid row
Last Update Date	Date	N	Date bid row last updated.

Table 5.2

### SECTION 5.2.2 MAINTAINING BIDS TO PURCHASE UCAP

Users may change location, bid MW, and bid \$/kW/month for the selected auction as long as the period for submitting bids for the auction is not closed. Bids cannot be modified in a manner that could result in awards that exceed the available collateral displayed in the “Info” tab. Only ten bids at a time can be displayed. If more than ten bids exist a “Next 10 /Previous 10” button will appear at the top of the “Maintain Bids to Purchase” tab.

Maintain Bids To Purchase						
Location	Bid MW	Bid \$/kW/Month	Bid Total \$ (MW * \$/kW/Month * 1000)	Last Updated By	Last Updated Date	Delete
LI	1.0	10.00	\$10,000.00	NYISO User	17-Jul-2004 03:18 AM	<input type="checkbox"/>
LI	0.2	0.20	\$40.00	NYISO User	21-Jul-2004 02:41 PM	<input type="checkbox"/>
LI	1.0	1.00	\$1,000.00	NYISO User	17-Aug-2004 04:02 PM	<input type="checkbox"/>
ROS	50.0	2.00	\$100,000.00	NYISO User	13-Sep-2004 10:45 AM	<input type="checkbox"/>
ROS	3.0	1.00	\$3,000.00	NYISO User	13-Sep-2004 10:48 AM	<input type="checkbox"/>
ROS	34.0	1.00	\$34,000.00	NYISO User	14-Sep-2004 08:16 AM	<input type="checkbox"/>
ROS	30.0	2.00	\$60,000.00	NYISO User	15-Sep-2004 09:27 AM	<input type="checkbox"/>

Save

Figure 5.9

Users may save Bids any edits to existing bids displayed in the “Maintain Bids to Purchase” tab by clicking the “Save” button. The system will validate the edits. After edits have been successfully saved, the following confirmation message will appear: “Successfully updated xx records in the database,” where xx is the number of modified bids. Available collateral and bid exposure data is recalculated and redisplayed with the edited bid data. If users modify bids and leave the screen without saving their changes, the system will prompt: “You have made changes to your screen.”

Continue?" Responding "Ok" will ignore all changes. Responding "Cancel" will allow the user to continue working in the screen.

Users must click "Save" for changes to any of the displayed bids before clicking "Next 10" or "Previous 10" or the changes will be lost.

### SECTION 5.2.3 DELETING BIDS

As long as the bid period is open, any bid that has been successfully saved through the ICAP auction software may be deleted through the "Maintain Bids to Purchase" screens. Users should select the check box in the "Delete" column, as shown in Figure 5.9, for all bids they wish to delete and click the Save button to confirm the deletion. After the deletion has been successfully processed, the following confirmation message will appear: "Successfully updated xx records in the database," where xx is the number of modified bids.

### SECTION 5.3 HOW TO COPY BIDS TO PURCHASE UCAP

The functionality described in this section is only available when an organization is Billing Qualified and the user has "Bid to Purchase" privileges.

Bids to purchase UCAP can be copied from any Bid Month in the prior or current monthly auction month to any bid month in the current Monthly auction month. Users can only copy bids to a bid month in the current Monthly auction. This functionality, not available for the Strip Auction, is available through the "Copy Bids" option in the Bids / Offers menu displayed in Figure 5.7.

#### SECTION 5.3.1 SCREEN DESCRIPTIONS

##### YELLOW MENU BAR AND COPY BIDS TO PURCHASE SCREEN SECTIONS

Screen Field	Data Type	Editable	Descriptions
MP Name	Text	Y	Defaults based MP name.
Copy From Auction Month	Text	Y	Select from a list consisting of the previous or current Monthly auction months.
Copy From Bid Month	Text	Y	Select from a list of bid months within the the selected auction month.
Eastern Time	Date/Time	N	Current date and eastern time.
Copy to Current Auction Month	Text	N	Current open monthly auction month and year.
Bid Period Closes	Date/Time	N	Date and time bid submittal period closes for current open auction month.
Total Bid Exposure for Month (Copy from Auction Month/Bid Month)	Numeric	N	The maximum amount of money that could be owed for the bid month based upon saved bids for the selected bid month. For Strip Auctions, this value will be 1/6 of Total Bid Exposure for Auction.
Total Bid Exposure for	Numeric	N	The maximum amount of money that could be owed based upon saved bids for the

Auction (Copy to Auction Month)			selected auction.
Posted Collateral	Numeric	N	Posted Collateral as supplied by the credit department.
Unpaid Awarded Bids	Numeric	N	Calculated as all awarded bids that have not been paid
Total Bid Exposure	Numeric	N	Equal to the sum of Total Bid Exposures of any open auctions minus any unpaid awarded offers.
Available Collateral	Numeric	N	Calculated as Posted Collateral – Unpaid Awarded Bids - Total Bid Exposure.
Location	Text	Y	Internal location
Bid MW	Numeric	Y	See Supplemental specification for format
Bid \$/KW/Month	Numeric	Y	See Supplemental specification for format
Bid Total	Numeric	N	Calculated as Bid MW * Bid \$/KW/Month * 1000
Copy to Bid Month	Text	Y	Defaults to current open bid month of current open monthly auction to copy displayed bids to.  Select from a list of open bid months for the selected auction. Exclude Bid Month if Monthly Auction Month equals Current Auction Month.

Table 5.3

SECTION 5.3.2 COPYING BIDS

The following screen will appear enabling users to copy bids:

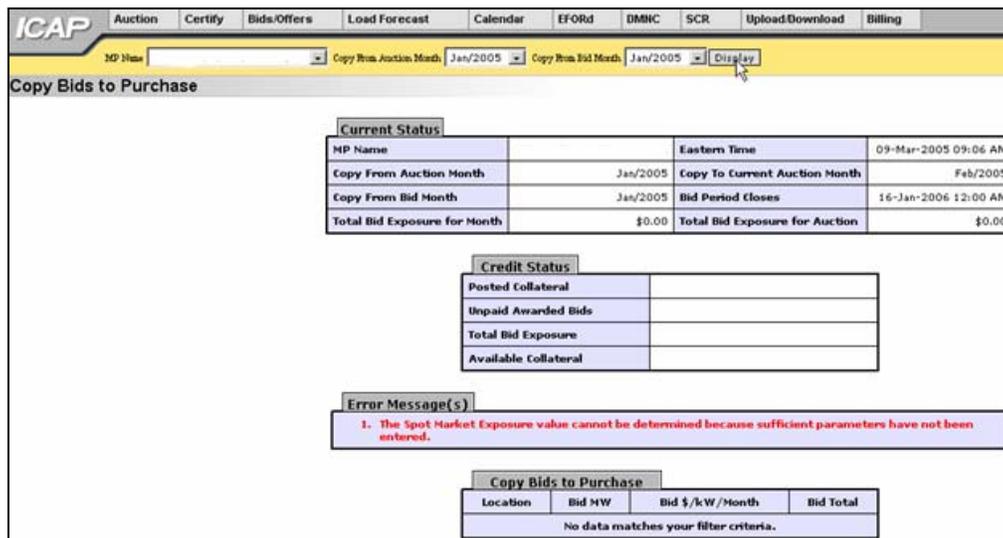


Figure 5.10

Users can select the monthly auction month and bid month that bid data will be copied from on the yellow bar at the top of the screen:

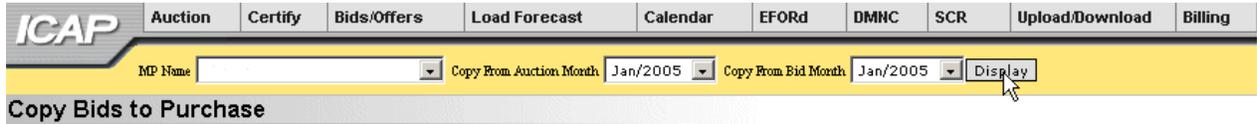


Figure 5.12

When the user clicks “Display” all relevant data to be copied will appear. Users may then select the bid month in the current auction month they wish to copy the data to and press “Save” to confirm the request in the tab titled “Copy to Bid Month.” The copy bids request will not be allowed if the resulting bids could result in awards that exceed the available collateral displayed in the “Credit Status” tab (see Figure 5.11). In such instances, any bids in the “Copy to Bid Month” will be overwritten.

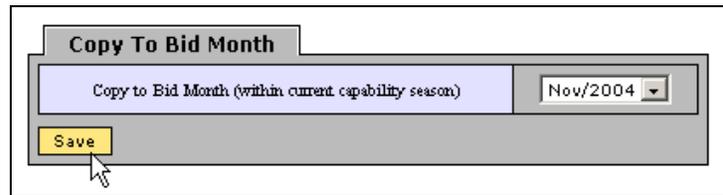


Figure 5.13

Prior to confirmation the following message will appear, “There may be unapproved entries in the selected month that will be overwritten. Is this OK?” After selecting OK, the system will then confirm the saved data with the message: “Your request to copy bids is complete.”

### SECTION 5.4 HOW TO VIEW BUYER AWARDS

Users may view total buyer awards for each month within a selected capability season. The totals include buyer awards from all auctions (including Spot Market) that were executed during the selected capability season and the results that were posted to the Web. This functionality is available through the main Bid/ Offer menu:

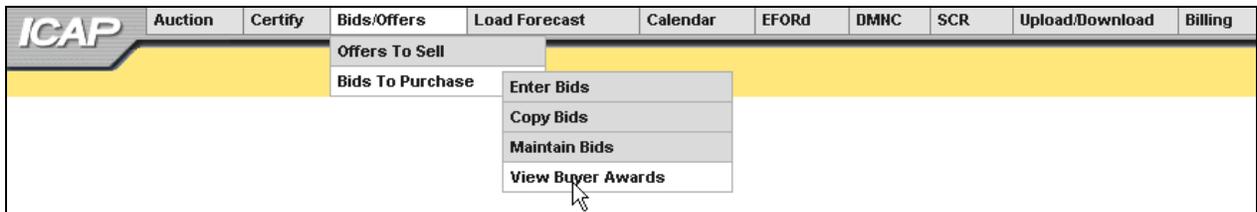


Figure 5.14

SECTION 5.4.1 SCREEN DESCRIPTIONS

YELLOW MENU BAR AND VIEW BUYER AWARDS SCREEN SECTIONS

Screen Field	Data Type	Editable	Rule
MP Name	Text	Y	Defaults based on logon.
Bid Season	Text	Y	Defaults to current capability season.  Select from a list of capability seasons.
Month	Text	N	Month within the selected capability season. This is equivalent to the Bid month for each auction.
Auction Type	Text	N	Strip, Monthly, or Spot
Auction Month	Text	N	The month that the auction was executed
Location	Text	N	All locations that MW were awarded in the capability season months
Mitigated Group	Text	N	All mitigation groups that MW were awarded in the capability season months
Total Awarded MW	Numeric	N	Amount of MW awarded for the month and auction type.
Total Awarded \$	Numeric	N	Total dollars owed for the awarded MW for the month in the auction.

Table 5.4

SECTION 5.4.1 VIEWING BUYER AWARDS

The following screen allows users to view a summary of all UCAP purchased in a capability season through the NYISO UCAP auctions:

View Buyer Awards						
Month	Auction Type	Auction Month	Location	Mitigated Group	Total Awarded MW	Total Awarded \$
May/2010	Monthly	May/2010	NYC		260.0	\$2,901,600.00
May/2010	Monthly	May/2010	NYC		480.7	\$5,364,612.00
May/2010	Monthly	May/2010	NYC		9.3	\$103,788.00
May/2010	Monthly	May/2010	ROS		0.0	\$0.00
May/2010	Spot	May/2010	NYC		2,673.7	\$30,534,179.32
May/2010	Spot	May/2010	ROS		2,230.8	\$2,900,040.00
May/2010	Strip	May/2010	NYC		641.7	\$7,154,955.00
May/2010	Strip	May/2010	NYC		58.3	\$650,045.00

Figure 5.15

Users may select a bid season, and press “Display.” The screen will display buyer awards data for each month within the selected capability season sorted by month, auction type (based on execution date), auction month (based on execution date), and location.

## SECTION 6.0 OFFERS TO SELL UCAP

This section describes the following functionality available to Market Participants who are selling UCAP:

- How to Enter Offers
- How to Maintain and View Offers
- How to Copy Offers
- How to View Seller Awards

The functionality described in this section is also available through Upload/ Download templates. Users may refer to Section 13.3 – Templates for Offers to Sell.

Users may only enter, modify, or delete offers while the offer period is open.

### SECTION 6.1 HOW TO ENTER OFFERS TO SELL UCAP

The functionality described in this section is only available when an organization is Billing Qualified and the user has "Offer to Sell" privileges.

Market Participants may create offers to sell UCAP for the strip, monthly, and spot market auctions. Each offer to sell UCAP submitted into the strip auction is considered an offer to sell UCAP in each month within the capability season of the current strip auction. Each offer to sell UCAP submitted into the monthly auction is considered an offer to sell UCAP only in the month specified in the selected offer month. Each offer to sell UCAP submitted in the Spot Market auction is considered an offer only for the current Spot Market auction. All offered MWs must be greater than or equal to 0.1 and must be entered to a tenth of a MW. The offer price (displayed in kW/Month) must be greater than \$0.00 and must be entered to the cent. Market participants should note that that offers will only be accepted during open offer submittal periods.

Additionally, users entering offers to sell should note the following:

- Any offers for mitigated generator groups cannot exceed the price cap for the selected mitigated generator group.
- Offers for an external location require PTIDs for all auctions. Offers for internal locations can only specify PTIDs for the Spot Market Auction.
- Offer MW specifying the PTID cannot exceed the PTID's remaining available capacity.
- In the Spot Market Auction, Offer MW for mitigated capacity (specifying either PTID or Mitigated Generator Group) cannot exceed remaining available capacity by mitigated generator group. For instance, if a user purchased 100 MWs of mitigated capacity in the monthly auction, no more than 100 MWs of mitigated capacity could be offered in the Spot Market Auction.
- In the Spot Market Auction, offer MW for unmitigated capacity (with or without PTID) cannot exceed remaining available unmitigated capacity.

## SECTION 6.1.1 SCREEN DESCRIPTIONS

## YELLOW MENU BAR AND ENTER OFFERS SCREEN SECTIONS

Screen Field	Data Type	Editable	Description
MP Name	Text	Y	Defaults based on logon.
Auction Type	Text	Y	Defaults to current auction.  Select from list of open auction types.
Auction Month	Text	Y	Defaults to current open auction month of selected auction type.  If Strip auction, selection list consists of first month of open capability season. (e.g., May/03 or Nov/03).  If Monthly auction, selection list consists of open months.  If Spot Market auction, list consists of the month of the current open Spot Market auction.
Offer Month	Text	Y	Defaults to Auction Month.  For Strip Auction and Spot Market auction, cannot be modified.  For Monthly Auction, selection list consists of open months within the applicable capability season.
Eastern Time	Date/Time	N	Current date and eastern time.
Offer Period Closes	Date/Time	N	Date and time the offer submittal period closes for the selected auction.
Location	Text	Y	Select from a list of all generation locations.
PTID	Text	Y	Select from list of PTID's tied to the MP (required for external locations).
Mitigated Generator Group	Text	Y	Select from list of mitigated generator groups tied to the location of PTID (will only have blank or group of PTID if PTID selected).
Offer MW	Numeric	Y	Offer MW (Format 9999.9)
Offer \$/KW/Month	Numeric	Y	Offer Price (Format 999.9)
Offer Total	Numeric	N	Calculated as Offer MW * Offer \$/KW/Month * 1000

Table 6.1

SECTION 6.1.2 ENTERING OFFERS

Users may access the Offers to Sell screens through the Bid / Offer menu:



Figure 6.1

The following screen, through which users can enter offers, will appear:

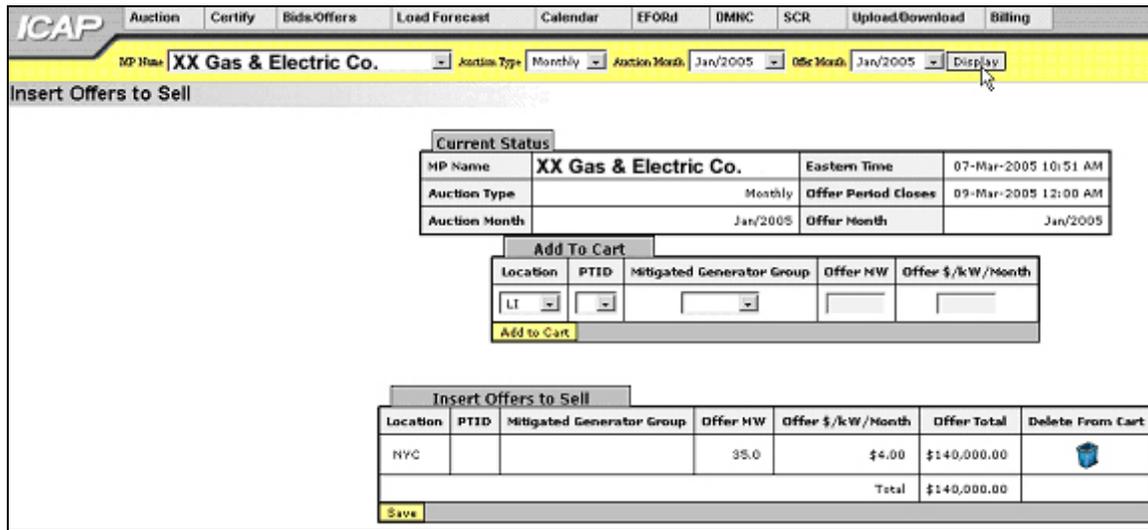


Figure 6.2

On this screen, users may add up to 10 offers to a shopping cart before saving them in the system. They may specify auction type (strip, monthly, or spot), auction month, and offer month (for monthly auctions only). After selecting these parameters, users should click the “Display” button at the top of the screen.

The screen that appears will display, in the tab labeled “Current Status,” the offer submittal period for the selected auction:



Figure 6.3

To enter an offer to sell UCAP, users must enter a location from the drop-down list, indicate PTID (which will remain blank if strip or monthly auction are selected unless an external location is selected), select the Mitigated Generator Group from the drop-down list, enter offer MW ( $\geq 0.1$ ). The offer is added to the offer shopping cart by clicking the “Add to Cart” button.

Location	PTID	Mitigated Generator Group	Offer MW	Offer \$/kW/Month
NYC			3	4

Add to Cart

Figure 6.4

Otherwise, the screen will refresh and display the offer total and the total price offered. The tab appearing at the bottom of the screen “Insert Offers to Sell” summarizes offer data. By clicking the “Save” button, users may verify their offer submission and save it into the auction system:

Location	PTID	Mitigated Generator Group	Offer MW	Offer \$/kW/Month	Offer Total	Delete From Cart
NYC			3.0	\$4.00	\$12,000.00	
Total					\$12,000.00	

Save

Figure 6.5

After “Save” is selected, a confirmation message will appear stating “Successfully saved xx record(s) to the database,” where xx is the number of records in the shopping cart. Before saving, users may delete offers by selecting the trash icon in the “Delete from Cart” column as displayed in figure 6.5. Users should note that although an offer may exceed the price cap for a mitigated generator group and be added to the cart, the error message displayed in figure 6.6 will appear once save is selected. The offer will still appear in the cart and must be manually deleted using the trash icon.

**Error Message(s)**

1. A price of \$32.00 exceeds the \$11.42 price cap for mitigated generator group.

Figure 6.6

If users leave the “Insert Offers to Sell” screen with unsaved data in the cart, a message will display prompting, “You are about to delete data from your cart. Continue?” If the user selects “Ok” all data in the cart will be lost.

### SECTION 6.2 HOW TO MAINTAIN AND VIEW OFFERS TO SELL UCAP

The screens associated with the functionality described in this section will be read-only for non-billing qualified organizations and users without "Offer to Sell" privileges.

Users may modify and edit offers that have been successfully saved by selecting "Maintain Offers" in the Bids / Offers menu. For instance, all offers entered as described in section 6.1 would appear and be available for editing using this functionality:



Figure 6.7

The following screen will appear:

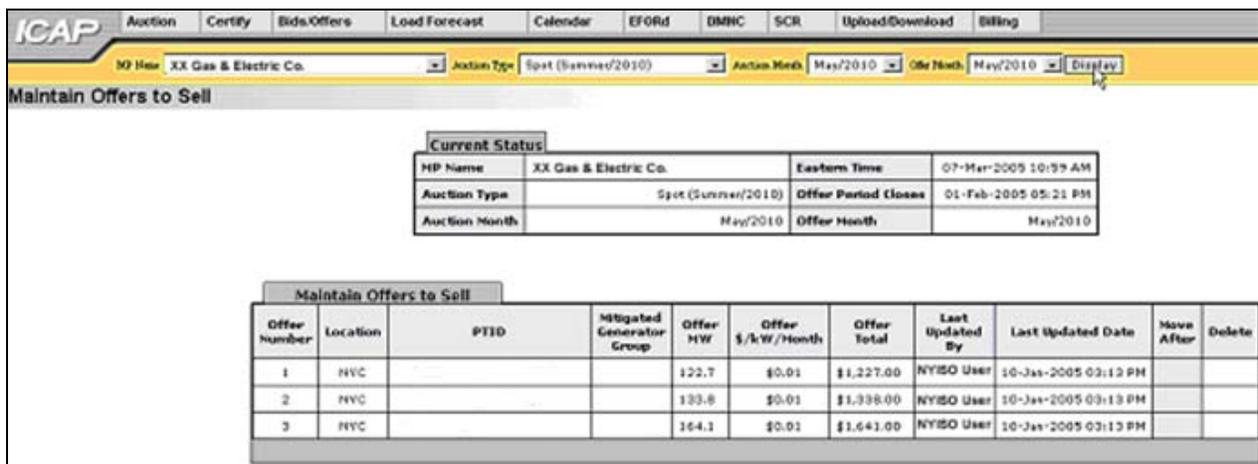


Figure 6.8

#### SECTION 6.2.1 SCREEN DESCRIPTIONS

##### YELLOW MENU BAR AND MAINTAIN OFFERS TO SELL SCREEN SECTIONS

Screen Field	Data Type	Editable	Description
MP Name	Text	Y	Defaults based on logon.
Auction Type (and Season)	Text	Y	Defaults to current auction.  Select from list of auction types.

Auction Month	Text	Y	<p>Defaults to current open auction month of selected auction type and season if auction period open, otherwise defaults to first month of the selected auction for the selected capability season.</p> <p>If Strip auction, selection list only consists of first month of the selected capability season. (e.g., May/03 or Nov/03)</p> <p>If Monthly or Spot Market auction, select from list of all months within the selected capability season.</p>
Offer Month	Text	Y	<p>Defaults to Auction Month.</p> <p>If Strip and Spot Market auction, can not be modified.</p> <p>If Monthly auction, select from list of all months within the selected capability.</p>
Eastern Time	Date/Time	N	Current date and eastern time.
Offer Period Closes	Date/Time	N	Date and time the offer submittal period closes for the selected auction.
Offer Number	Decimal	Y	<p>System assigned unique sequence number.</p> <p>Can only be changed if Spot Market auction selected. (Offers with the same offer price will be processed in order of lowest to highest Offer Numbers in the Spot market Auction.</p>
Location	Text	N	Location of capacity.
PTID	Text	N	PTID from which capacity is being offered.
Mitigated Generator Group	Text	N	Mitigated Generator Group from which capacity is being offered.
Offer MW	Numeric	Y	<p>Offer MW (format 9999.9)</p> <p>N.B.: Offer MW can appear as 9999.999 if the offer was automatically generated by the system for excess capacity purchased in the NYC or LI Spot Market Auctions and offered back into the NYCA Spot Market Auction.</p>
Offer \$/KW/Month	Numeric	Y	Offer Price (format 999.9)
Offer Total	Numeric	N	Calculated as Offer MW * Offer \$/KW/Month * 1000
Last Updated By	Text	N	Identifies person that last modified the offer

Last Updated Date	Date	N	Identifies date offer was last modified
-------------------	------	---	---

Table 6.2

### SECTION 6.2.2 MAINTAINING OFFERS

Users may change “Offer MW” and Offer \$/kW/Month” for the selected auction as long as the period for submitting offers for the auction is not closed. These parameters may be edited through the “Maintain Offers to Sell” tab. If more than ten bids exist a “Next 10 /Previous 10” button will appear at the top of the “Maintain Offers to Sell” screen.

Offer Number	Location	PTID	Religated Generator Group	Offer MW	Offer \$/kW/Month	Offer Total	Last Updated By	Last Updated Date	Delete
1	NYC			332.2	11.42	\$3,793,724.00		28-Jul-2004 10:21 AM	<input type="checkbox"/>
2	NYC			937.7	11.42	\$10,708,534.00		28-Jul-2004 10:21 AM	<input type="checkbox"/>
3	NYC			8.8	11.42	\$100,496.00		28-Jul-2004 10:21 AM	<input type="checkbox"/>
4	NYC			40.6	11.42	\$463,652.00		28-Jul-2004 10:21 AM	<input type="checkbox"/>
5	NYC			37.5	11.42	\$428,250.00		28-Jul-2004 10:21 AM	<input type="checkbox"/>
6	NYC			35.1	11.42	\$400,842.00		28-Jul-2004 10:21 AM	<input type="checkbox"/>
7	NYC			35.4	11.42	\$404,268.00		28-Jul-2004 10:21 AM	<input type="checkbox"/>
8	NYC			36.2	11.42	\$413,404.00		28-Jul-2004 10:21 AM	<input type="checkbox"/>
9	NYC			37.4	11.42	\$427,108.00		28-Jul-2004 10:21 AM	<input type="checkbox"/>
10	NYC			37.7	11.42	\$430,534.00		28-Jul-2004 10:21 AM	<input type="checkbox"/>

Figure 6.9

Users may save any edits to existing offers displayed in the “Maintain Offers to Sell” tab by clicking the “Save” button. The system will then validate the edits. After edits have been successfully saved, the following confirmation message will appear: “Successfully updated xx records in the database,” where xx is the number of modified records. If users modify offers and leave the screen without saving their changes, the system will prompt: “You have made changes to your screen. Continue?” Responding “Ok” will ignore all changes. Responding “Cancel” will allow the user to continue working in the screen. Users must click “Save” for changes to any of the displayed bids before clicking “Next 10” or “Previous 10” or the changes will be lost.

### SECTION 6.2.3 DELETING OFFERS

Any offer that has been successfully saved through the ICAP auction software may be deleted through the “Maintain Offers to Sell” screens as long as the period for submitting offers for the auction is not closed. Users should select the check box in the “Delete” column in figure 6.9 for all offers they wish to delete and click the “Save” button to confirm the deletion.

### SECTION 6.3 HOW TO COPY OFFERS

Offers to sell UCAP can be copied from any offer month in the prior or current Monthly auction month to the current Monthly auction month. Users can only copy offers to an offer month in the current monthly auction. This functionality is available through the Bids / Offers menu. This screen does not apply to Strip and Spot Market Auctions and is only available when an organization is billing qualified and the user has "Offer to Sell" privileges.



Figure 6.10

The following screen will appear enabling users to copy offers:

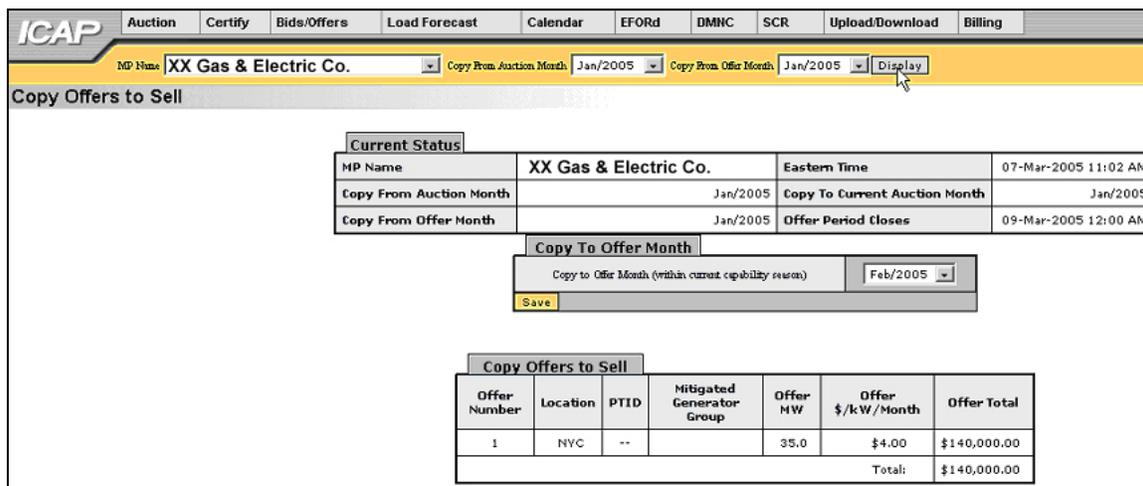


Figure 6.11

### SECTION 6.3.1 SCREEN DESCRIPTIONS

#### YELLOW MENU BAR AND COPY OFFERS TO SELL SCREEN SECTIONS

Screen Field	Data Type	Editable	Rule
MP Name	Text	Y	Defaults based on logon.
Copy from Auction Month	Text	Y	Select from a list consisting of the previous or current auction months.
Copy from Offer Month	Text	Y	Select from list of offer months within the selected auction month.
Eastern Time	Date/Time	N	Current date and eastern time.
Copy to Current Auction Month	Text	N	Current open monthly auction month and year.

Offer Period Closes	Date/Time	N	Date and time the offer submittal period closes for the current open auction month.
Offer Number	Decimal	N	Unique sequence number assigned by system.
Location	Text	N	Location of capacity.
PTID	Text	N	PTID from which capacity is being offered.
Mitigated Generator Group	Text	N	Mitigated Generator Group from which capacity is being offered.
Offer MW	Numeric	N	Offer MW (format 9999.99)
Offer \$/KW/Month	Numeric	N	Offer Price (format 999.99)
Offer Total	Numeric	N	Calculated as Offer MW * Offer \$/KW/Month * 1000

Table 6.3

### SECTION 6.3.2 COPYING UCAP OFFERS

Users can select the “Copy from Auction Month” and “Copy from Offer Month” from the yellow navigation bar at the top of the screen:

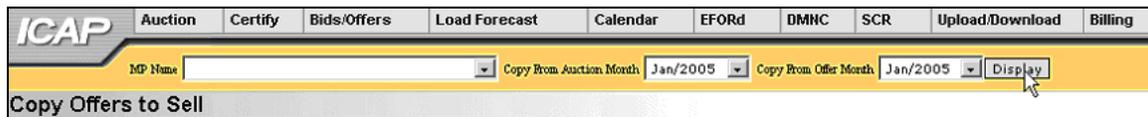


Figure 6.12

When the user clicks “Display” all relevant offer data to be copied will appear. The user may then select the offer month they wish to copy the data to and press “Save” to confirm the request in the tab titled “Copy to Offer Month:”

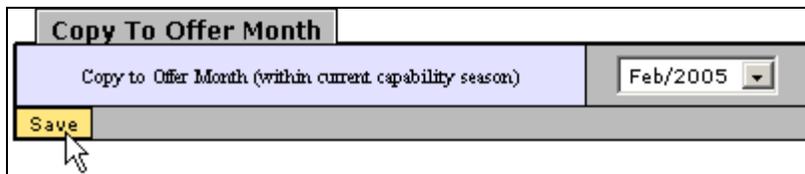


Figure 6.13

The system will confirm the saved data with the message: “Your request to copy offers is complete.” Any offers in the “Copy to Offer Month” will be over-written. A confirmation message may appear when performing this action. Users wishing to copy offers to the selected “Copy to Offer Month,” should select “Ok.”

## SECTION 6.4 HOW TO VIEW SELLER AWARDS

Users may view total seller awards for each month within a selected capability season. The totals include seller awards from all auctions that were executed during the selected capability season and the results that were posted to the Web.

### SECTION 6.4.1 SCREEN DESCRIPTIONS

#### YELLOW MENU BAR AND VIEW SELLER AWARDS SCREEN SECTIONS

Screen Field	Data Type	Editable	Description
MP Name	Text	Y	Defaults based on logon.
Offer Season	Text	Y	Defaults to current capability season. Select from a list of capability seasons.
Month	Text	N	Month within the selected capability season. This is equivalent to the Offer month for each auction.
Auction Type	Text	N	Spot, Monthly, or Strip
Auction Month	Text	N	The month that the auction was executed
Location	Text	N	All locations that MW were awarded in the capability season months
Mitigated Group	Text	N	All mitigation groups that MW were awarded in the capability season months.
Total Awarded MW	Numeric	N	Amount of MW awarded for each month and Auction Type.
Total Awarded \$	Numeric	N	Total \$ for the awarded MW for each month and Auction Type.

Table 6.4

### SECTION 6.4.2 VIEWING SELLER AWARDS

This functionality is available through the main Bid/ Offer menu:



Figure 6.14

The following screen allows sellers to view a summary of the awarded offer MWs for an entire capability season:

Month	Auction Type	Auction Month	Location	Mitigated Group	Total Awarded MW	Total Awarded \$
May/2010	Spot	May/2010	NYC		975.000	\$11,134,500.00
Total:					975.000	\$11,134,500.00

Figure 6.15

Users may select "Offer Season", and press "Display." The screen will display offer awards data for each month within the selected capability season sorted by month, auction type (based on execution date), auction month (based on execution date), and location.

## SECTION 7.0 RECORDING LOAD FORECASTS

This section describes how all Market Participants may view ICAP and UCAP Calculations for each Capacity Season, how Transmissions Owners and LSEs may record and maintain LSE load forecasts, and how Transmission Owners may maintain their lists of LSEs. If users have been granted “Maintain T.O. Data” user privileges, the functionality described in this section typically will be captured and transmitted via the upload/ download processes described in section 13 of this Users’ Guide. Alternately, the functionality described in this chapter allows users to manually enter and manipulate data. The following functions are described:

- How to Record and Maintain LSE Load Forecasts
- How to Maintain Transmission Owner Lists of LSEs
- How to View ICAP and UCAP Calculations

Upload and Download Templates for recording load forecasts are described in section 13.4 of this Users’ Guide.

The requirements supporting the functionality described in this section are described in greater detail in sections 2 and 3 of the Installed Capacity Manual.

## SECTION 7.1 HOW TO RECORD LSE LOAD FORECASTS

Transmission Owners may record and maintain LSE load forecasts and LSEs may view their own forecast data for a selected month and year using the screens described in this section. This functionality may be utilized from the Load Forecast menu option on the main menu by selecting “Record LSE Load Forecasts”:

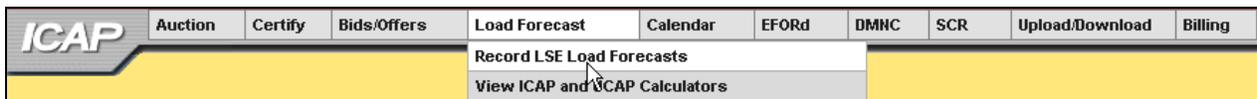


Figure 7.1

The following screen will appear:

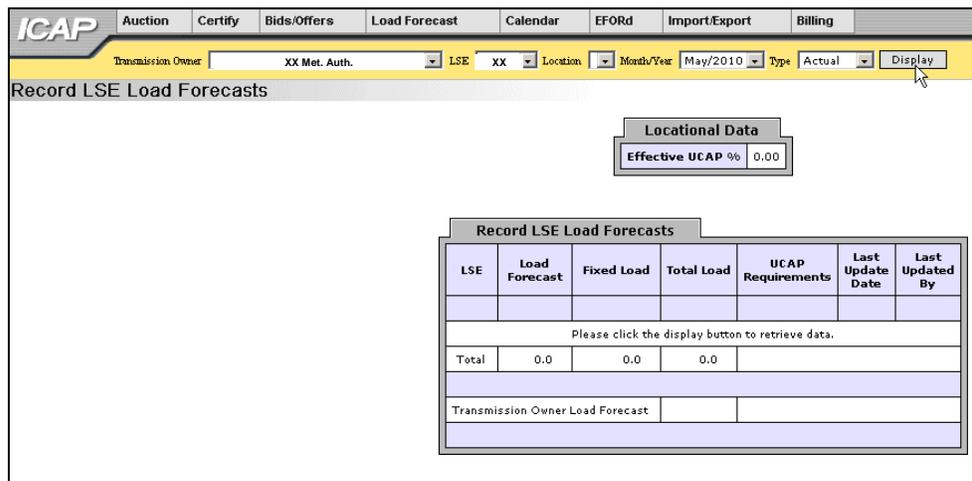


Figure 7.2

Users should note that no actual data will be displayed until Transmission Owner, LSE, Location, Month / Year, and Forecast Type are selected from the yellow bar and the top of the screen and the “Display” button is clicked:

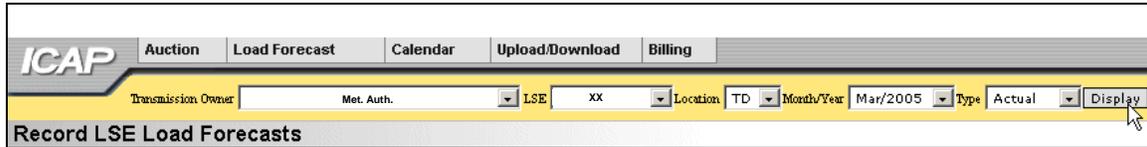


Figure 7.3

The screen depicted in figure 7.3 would appear if a user logged into the system as a Transmission Owner. TOs recording their district load forecasts through this screen would be able to select from their full list of available LSEs. LSEs viewing their load forecast data would only have their own organization name available in the “LSE” drop-down box on this menu and would also have to select which Transmission Owners that they are associated with.

After specifying the appropriate parameters and clicking “Display” the following screen will appear:

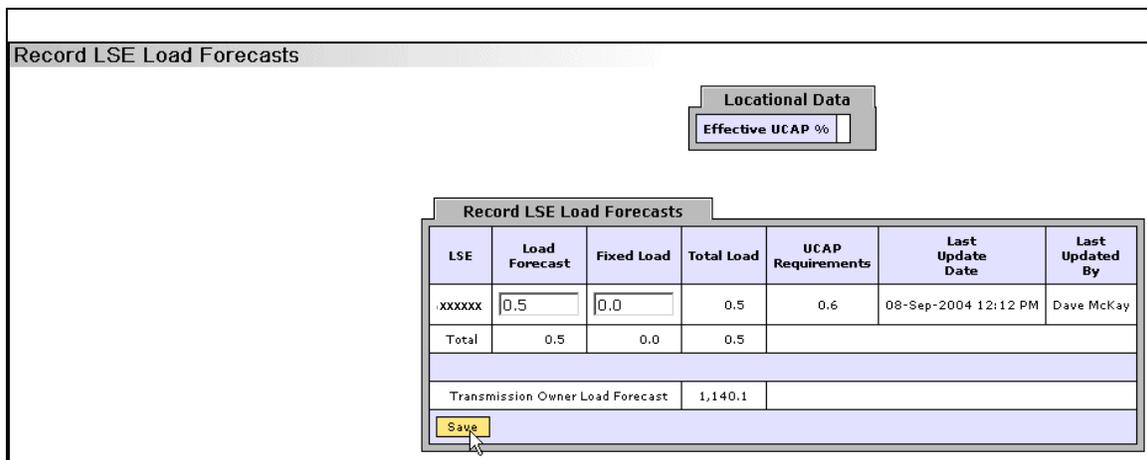


Figure 7.4

SECTION 7.1.1 SCREEN DESCRIPTIONS

YELLOW MENU BAR AND RECORD LSE LOAD FORECAST SCREEN SECTIONS

Screen Field	Data Type	Editable	Description
Transmission Owner	Text	Y	Default is Transmission Owner based on the user logon if user is a Transmission Owner, else blank.
LSE	Text	Y	Default is the LSE based on the user logon.  Transmission Owners can select “ALL” to display all associated

			LSEs at once.
Location	Text	Y	Location tied to the LSE and Transmission Owner selected (TD, In-City, On-Island).
Month/Year	Date	Y	Month and Year of Load Forecast (Mmm/YYYY).
Type	Text	Y	List consists of Estimate or Actual.
Locational Effective UCAP %	Number	N	Effective UCAP percent for converting ICAP to UCAP for the given location.

Table 7.1

LSE	Text	N	Selected LSE's.
Load Forecast	Number	Y	LSE Load forecast for specified month and year (1 decimal).
Fixed Load	Number	N	LSE Fixed Load forecast for the Transmission Owner and LSE combination as setup by the NYISO (1 decimal).
Total Load	Number	N	Sum of load forecast + fixed load.
UCAP Requirements	Number	N	Calculated UCAP requirement value (1 decimal).
Last Update Date	Date	N	Date forecast was last updated.
Last Updated By	Text	N	Identifier of user that last updated the forecast.

Table 7.2

### SECTION 7.1.2 ENTERING AND MAINTAINING LSE LOAD FORECASTS

In the "Record LSE Load Forecasts" tab depicted in figure 7.4, Transmission Owners may either enter forecast data or modify forecast data that has been entered previously either using the functionality described in this section or uploaded using the import files processes described in Section 13 of this Users' Guide. Data is sorted by LSE name.

Users may modify load forecast data by selecting the appropriate LSE, manually editing the data in the "Load Forecast" column, and clicking "Save." Load Forecasts must be greater than or equal to 0. Transmission Owners should note that load forecast data may only be edited during the Load Forecast Submittal Period. LSEs are able to view, but not edit, their own data.

Fixed Load data is entered and maintained by the NYISO. The NYISO enters this data prior to the Load Forecast Submittal Period. Users should note that the sum of the fixed load and the load forecast should always be equal to the "Transmission Owner Load Forecast" field at the bottom of the "Record LSE Load Forecasts" tab.

Load Forecast numbers for "TD" Locations must be the total load number for the Transmission District (not just the load that resides outside a locality (In-City, On-Island)). For example, if an LSE has 10 MW of total load In-City and 2 MW outside of NYC but still in the Con Ed Transmission District, the load forecast would be reported as TD = 12 MW, In-City = 10 MW.

**SECTION 7.2 HOW TO MAINTAIN TRANSMISSION OWNER LISTS OF LSEs**

The functionality described in this section is only available for Transmission Owners and the screens described will be read-only unless the user has "Maintain T.O. Data" user privileges.

Transmission Owners may identify and maintain the entire list of LSEs associated with their Transmission District by selecting the following menu option from the Load Forecast menu:

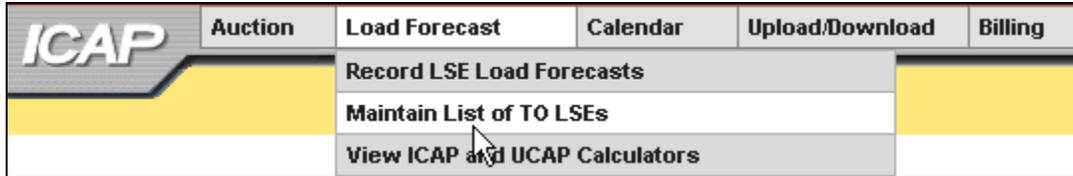


Figure 7.5

The following screen will appear:

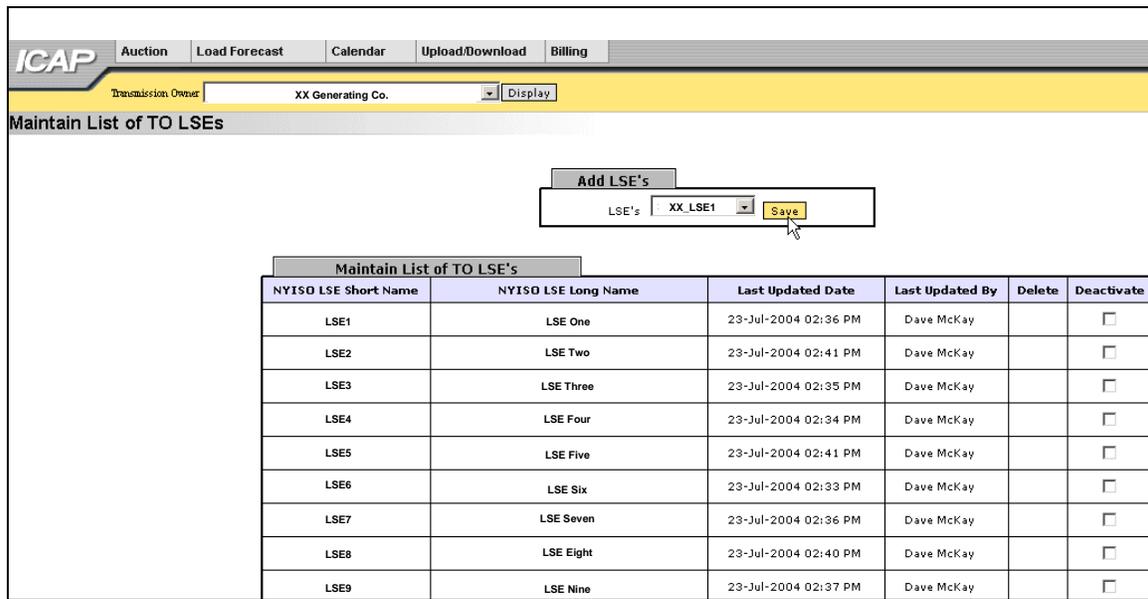


Figure 7.6

The screen will remain empty of data and read "Please click the display button to retrieve data." until the user selects a Transmission Owner name and clicks "Display."

## SECTION 7.2.1 SCREEN DESCRIPTIONS

### YELLOW MENU BAR AND MAINTAIN LIST OF TO'S LSE SCREEN SECTIONS

Screen Field	Data Type	Editable	Description
Transmission Owner	Text	Y	Defaults to log-on.
NYISO LSE Short Name	Text	Y	Selection list contains all LSE Short Names from list maintained by Resource Reliability.
NYISO LSE Long Name	Text	N	LSE Long Name from MIS based on LSE Short Name selected.
Last Update Date	Text	N	Date record last updated.
Last Updated By	Text	N	User that last updated record.

Table 7.2

### SECTION 7.2.2 ADDING A NEW LSE NAME TO THE LIST OF TRANSMISSION OWNER LSEs

Transmission Owners can add LSEs to their list by selecting the desired LSE from the list available in the “Add LSEs” tab and clicking the save button. The screen will refresh and redisplay with the newly added LSE name in the “Maintain List of TO LSE’s” tab:

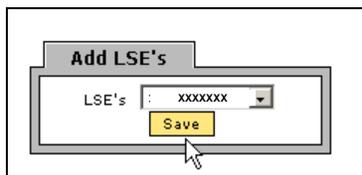


Figure 7.7

### SECTION 7.2.2 REMOVING A LSE FROM TRANSMISSION OWNER LIST OF LSEs

If a Transmission Owner has added a LSE to their list and wishes to remove the name and daily load data exists for that LSE (either currently or historically), they may do so by checking the appropriate box, adjacent to the LSE name, in the deactivate column on the “Maintain List of TO LSEs” screen (Figure 7.8), and clicking the “Save” button.

### SECTION 7.2.3 DELETING A LSE FROM TRANSMISSION OWNER LIST OF LSEs

If a Transmission Owner has added a LSE to their list and wishes to remove the name and no daily load data exists for that LSE (either currently or historically), they may do so by checking the appropriate box, adjacent to the LSE name, in the delete column on the “Maintain List of TO LSE’s” screen, and clicking the “Save” button:

Maintain List of TO LSE's					
NYISO LSE Short Name	NYISO LSE Long Name	Last Updated Date	Last Updated By	Delete	Deactivate
LSE1	LSE One	23-Jul-2004 02:36 PM	Dave McKay	<input type="checkbox"/>	<input checked="" type="checkbox"/>
LSE2	LSE Two	23-Jul-2004 02:41 PM	Dave McKay	<input type="checkbox"/>	<input checked="" type="checkbox"/>
LSE3	LSE Three	23-Jul-2004 02:35 PM	Dave McKay	<input type="checkbox"/>	<input checked="" type="checkbox"/>
LSE4	LSE Four	23-Jul-2004 02:34 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE5	LSE Five	23-Jul-2004 02:41 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE6	LSE Six	23-Jul-2004 02:33 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE7	LSE Seven	23-Jul-2004 02:36 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE8	LSE Eight	23-Jul-2004 02:40 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE9	LSE Nine	23-Jul-2004 02:37 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE10	LSE Ten	23-Jul-2004 02:36 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE11	LSE Eleven	25-Mar-2004 05:48 AM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE12	LSE Twelve	23-Jul-2004 02:39 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE13	LSE Thirteen	23-Jul-2004 02:33 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE14	LSE Fourteen	23-Jul-2004 02:32 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE15	LSE Fifteen	19-Apr-2004 10:45 AM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE16	LSE Sixteen	23-Jul-2004 02:40 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE17	LSE Seventeen	23-Jul-2004 02:37 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE18	LSE Eighteen	23-Jul-2004 02:35 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE19	LSE Nineteen	25-Mar-2004 05:48 AM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE20	LSE Twenty	23-Jul-2004 02:30 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE21	LSE Twenty-One	23-Jul-2004 02:31 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>
LSE22	LSE Twenty-Two	23-Jul-2004 02:37 PM	Dave McKay	<input type="checkbox"/>	<input type="checkbox"/>

Figure 7.8

The screen will refresh with the selected name deleted from the list.

### SECTION 7.3 HOW TO VIEW ICAP AND UCAP CALCULATIONS

All Market Participants may view ICAP and UCAP calculations and the data used in the calculations. These calculations are described in greater detail in sections 2 and 3 of the Installed Capacity Manual and section 5.12 of the ISO Services Tariff. This functionality is accessible from the Load Forecast menu:

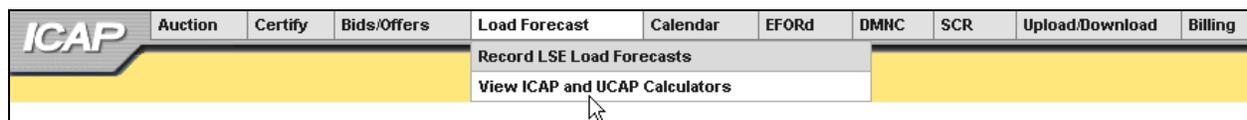


Figure 7.9

### SECTION 7.3.1 SCREEN DESCRIPTIONS

#### VIEW UCAP AND ICAP CALCULATIONS

Screen Field	Data Type	Editable	Description
Season	Text	Y	Default to current season. Select from list containing all seasons.
Posted Date	Date	N	Date data was posted to the web
Posted By	Text	N	Identifies person that posted data to the web
Location	Text	N	Locations for which data exists. (NYCA, NYC, LI)
Forecasted Peak Load	Number	N	Forecasted Peak Load for the location (NYCA, NYC and LI) for the Capability Year. Calculated as sum of TD loads by location (NYCA = TD, NYC = In-City and LI = On-Island).
Requirement %	Number	N	Percent used to calculate ICAP requirements for the location.
EFORd %	Number	N	Percent used to calculate UCAP requirements for the location.
ICAP MW Requirement	Number	N	Peak Load for Location* (Requirement % for the Location for the year associated with season selected / 100).
UCAP MW Requirement	Number	N	ICAP MW Requirement for the Location * (1 – (EFORd % for the Location) / 100).
UCAP Effective %	Number	N	UCAP Requirement MW for the Location / Forecasted Peak Load for the Location * 100.
Transmission District	Text	N	All Transmission Owners.
Forecasted Peak Load	Number	N	NYISO-defined forecasted peak load for the Transmission Owner.
ICAP MW Requirement	Number	N	Forecasted Peak Load * (Requirement % for NYCA
UCAP MW Requirement	Number	N	ICAP MW Requirement * (1 – (EFORd % for NYCA) / 100).

Table 7.3

SECTION 7.3.1 VIEWING ICAP AND UCAP CALCULATIONS

The following screen will appear, allowing Market Participants to select a season. Data will only display after users click "Display:"



Figure 7.10

The screen is divided into three tabs:

View ICAP and UCAP Calculations						
Post Data						
Posted Date	Posted By					
Locational Calculations						
Location	Forecasted Peak Load	Requirement %	EFDR %	ICAP MW Requirement	UCAP MW Requirement	UCAP Effective %
LI	5,059.0	99.00	1.00	5,008.4	4,958.3	98.01
NYC	11,150.0	80.00	1.00	8,920.0	8,830.8	79.20
NYCA	31,800.3	118.00	1.00	37,524.4	37,149.3	116.82

Transmission District Loads			
Transmission District	Forecasted Peak Load	ICAP MW Requirement	UCAP MW Requirement
	1,140.1	1,345.3	1,331.8
	12,876.2	15,193.9	15,042.0
	5,165.8	6,095.6	6,034.6
	477.0	562.9	557.3
	2,757.9	3,254.3	3,221.8
	6,741.4	7,954.9	7,875.4
	1,053.7	1,243.4	1,231.0
	1,588.2	1,874.1	1,855.4
Total	31,800.3	37,524.4	37,149.3

Figure 7.11

The top tab, "Post Data," identifies the date the seasonal data was posted to the web. The middle tab "Locational Calculations," details capacity requirements for Long Island, New York City, and the NYCA. The bottom tab, "Transmission District Loads," enumerates forecast and requirement data for each of the eight Transmission Districts.

## SECTION 8.0 ICAP MARKET EVENT CALENDAR

Users may view ICAP event schedules for a specified period of time using the calendar feature of the ICAP auction software. When users select month, day, and year the system displays all associated events in a sequential day order.

### SECTION 8.1 HOW TO VIEW THE EVENT CALENDAR

In order to display the event calendar, users must select "Calendar" from the horizontal menu bar and "View Event Calendar" from the resulting drop-down menu. The following screen will appear:

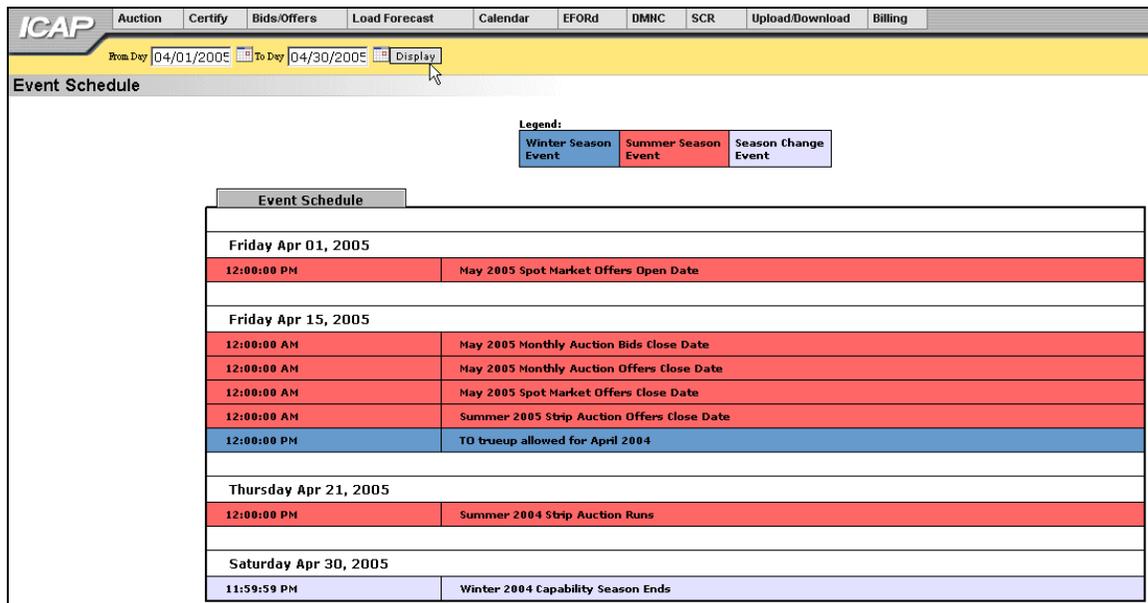


Figure 8.1

Events are differentiated by capability season: red denotes events transpiring in the summer capability period, blue denotes events transpiring in the winter capability period, and white denotes season change events. A legend, denoting the different colors associated with capability period events, appears at the top of the calendar screen:



Figure 8.2

SECTION 8.1.1 SCREEN DESCRIPTIONS

YELLOW MENU BAR AND "EVENT SCHEDULE" SCREEN SECTION

Screen Field	Data Type	Editable	Rule
From Day	Date (MM/DD/YYYY)	Y	Defaults to current date.  Specifies first day of calendar events to display.
To Day	Date (MM/DD/YYYY)	Y	Defaults to last day of current month/year. Specifies last day of calendar events to display.  Must be greater than or equal to the From Day.
Events	Text	N	ICAP market Event description text with event time (hh/mm/ss AM/PM)

Table 8.1

SECTION 8.1.2 VIEWING EVENT SCHEDULES

The "From Day" and "To Day" parameters may be changed by clicking the first calendar icon to the right of the parameter:



Figure 8.3

Selecting the calendar icons adjacent to the "From Day" and "To Day" fields produces the calendar pop-up window (Figure 8.4). From this window, users can change the date, by clicking directly on the desired value:



Figure 8.4

Users may navigate back and forward by year by clicking on the double arrows, and navigate by month by clicking on the single arrows. Clicking on a specific day (which closes the calendar window) will force the desired start or end day to appear in the “From Day” and “To Day” fields, respectively. In order for events, falling on or in between the “From Day” and “To Day” values specified, to appear in the Event Schedule, users must click the “Display” button in the yellow bar at the top of the screen.

## SECTION 9.0 AUCTION RESULTS

This section describes how to view bids, offers, and their respective awards, and auction summary information. The following functions are described:

- o How to View Strip / Monthly Auction Bids / Awards
- o How to View Spot Market Auction
- o How to View Auction Offer Awards
- o How to View Strip Auction Summary
- o How to View Monthly Auction Summary
- o How to View Spot Auction Summary
- o How to View Rebate Summary

Auction results are not available until the NYISO has posted the results.

## SECTION 9.1 HOW TO VIEW STRIP / MONTHLY AUCTION BID RESULTS

Users may review bids and awards for the monthly and strip auctions by selecting the following option on the main ICAP auction menu:

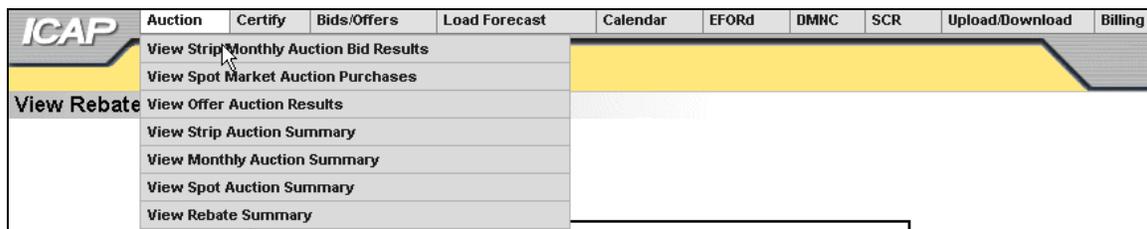


Figure 9.1

### SECTION 9.1.1 SCREEN DESCRIPTIONS

#### YELLOW MENU BAR AND "AUCTION BID RESULTS" SCREEN SECTION

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on logon.
Auction Type	Text	Y	Select from list of strip or monthly auction types and capability season.
Auction Month/ Year	Text	Y	Select from available months within Season selected. If Strip auction, selection list only consists of first month of Season (e.g. – May 2003 or Nov 2003).
Bid Month/ Year	Text	Y	Defaults to Auction Month. For Strip auction, cannot be selected. For Monthly Auction, selection list consists of open months within the capability season.
Location	Text	N	Requirements location.
Bid Price	Numeric	N	Bid price per MW \$/kW per month).
Bid MW	Numeric	N	Number of MWs at the bid price.
Awarded MW	Numeric	N	Number of MWs awarded.
MCP	Numeric	N	Market clearing price for the location.
Awarded \$	Numeric	N	Calculated as Awarded MW * MCP * 1000

9.1 How to View Strip/Monthly Auction Bid Results

Amount			(multiply again by 6 for Strip Auctions).
Mitigated MW	Numeric	N	Number of mitigated MWs awarded.

Table 9.1

SECTION 9.1.2 VIEWING STRIP OR MONTHLY AUCTION BID RESULTS

The following screen, allowing users to select a variety of parameters, will appear:

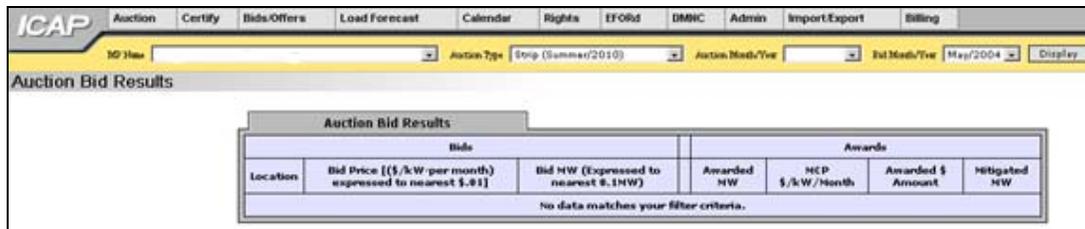


Figure 9.2

Users should note that the “Auction Bid Results” tab will not display any data until parameters are specified. Season and auction type (strip or monthly), auction month, and bid month (if the auction type selected is monthly) may be specified on the yellow horizontal bar at the top of the screen:

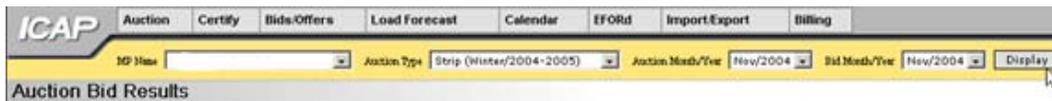


Figure 9.3

After clicking the “Display” button, the following screen will appear displaying all bids and awards based on the specified parameters. By default, bids are ordered by bid price descending:

Auction Bid Results						
Bids			Awards			
Location	Bid Price [(\$/kW per month) expressed to nearest \$.01]	Bid MW (Expressed to nearest 0.1MW)	Awarded MW	MCP \$/kW/Month	Awarded \$ Amount	Mitigated MW
NYC	11.42	100.0	100.0	11.15	6,690,000.00	100.0
NYC	11.29	300.0	300.0	11.15	20,070,000.00	300.0
NYC	11.17	300.0	300.0	11.15	20,070,000.00	300.0
NYC	11.04	300.0	0.0	11.15	0.00	0.0
NYC	10.79	1,000.0	0.0	11.15	0.00	0.0
NYC	10.54	1,600.0	0.0	11.15	0.00	0.0
ROS	1.48	100.0	0.0	1.68	0.00	0.0
ROS	1.13	100.0	0.0	1.68	0.00	0.0
ROS	0.42	100.0	0.0	1.68	0.00	0.0
ROS	0.18	100.0	0.0	1.68	0.00	0.0
ROS	0.09	1,100.0	0.0	1.68	0.00	0.0
Total		5,100.0	700.0		\$46,830,000.00	700.0

Figure 9.4

Users should note that bids and awards are clearly demarcated in the “Auction Bid Results” tab by a double horizontal line. Also, bids may be resorted by location by clicking on the “Location” column heading.

SECTION 9.2 HOW TO VIEW SPOT MARKET AUCTION PURCHASES

Users may review purchases, covering both deficient MWs and MWs awarded in excess of additional spot requirements, made in the Spot Market Auction.

SECTION 9.2.1 SCREEN DESCRIPTIONS

YELLOW MENU BAR AND "SPOT MARKET AUCTION PURCHASES" SCREEN SECTION

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on logon.
Auction Type	Text	Y	Select from list of all auction types.
Auction Month / Year	Text	Y	Defaults to open auction month of selected auction type. Select from available months within Season selected.
Excess / Deficiency	Text	N	Specifies type of awarded MW, excess or deficient.
Location	Text	N	Requirements location.
Bid Price	Numeric	N	Not used.
Bid MW	Numeric	N	Not used.
Awarded MW	Numeric	N	Number of MWs awarded.
MCP	Numeric	N	Market clearing price for the location.
Awarded \$ Amount	Numeric	N	Calculated as Awarded MW * Market Clearing Price * 1000.
Mitigated MW	Numeric	N	Not used.

Table 9.2

SECTION 9.2.2 VIEWING SPOT MARKET PURCHASES

Users should select the "View Spot Market Purchases" option from the menu in Figure 9.1. After selecting "Auction Type" and "Auction Month/Year" on the yellow menu bar and clicking the "Display" button, the screen in Figure 9.5 will appear.

Spot Market Auction Purchases							
Bids				Awards			
Excess/Deficient	Location	Bid Price [(\$/kW per month) expressed to nearest \$.01]	Bid MW (Expressed to nearest 0.1 MW)	Awarded MW	MCP (\$/kW/Month)	Awarded \$ Amount	Mitigated MW
Excess	ROS			819.058	1.3	1,064,775.38	0.000
Deficient	ROS			1,411.754	1.3	1,835,280.25	0.000
Excess	NYC			128.946	11.42	1,449,723.38	0.000
Deficient	NYC			2,546.800	11.42	29,004,456.00	0.000
Total				4,904.558		\$33,434,236.00	

Figure 9.5

## SECTION 9.3 HOW TO VIEW OFFER AUCTION RESULTS

Users may review offers and awards for any auction by selecting the “View Auction Offer Results” option on the main ICAP auction menu, as displayed in Figure 9.1.

## SECTION 9.3.1 SCREEN DESCRIPTIONS

## YELLOW MENU BAR AND “AUCTION OFFER RESULTS” SCREEN SECTION

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on logon.
Auction Type	Text	N	Select from list of all auction types and capability seasons.
Auction Month	Text	N	Defaults to open auction month of selected auction type. Select from available months within Season selected.  If Strip auction, selection list only consists of first month of Season selected (e.g. - May 2003 or Nov 2003)
Offer Month	Text	Y	Defaults to Auction Month.  For Strip auction, cannot be selected.  For Spot Market and Monthly Auctions, selection list consists of months within the capability season.
Offer #	Numeric	N	Unique identifier of offer.
Location	Text	N	Location of generation.
PTID	Text	N	Identifier of a generation unit.
Offer Price	Numeric	N	Offer price per MW (\$/kW per month).
Offer MW	Numeric	N	Number of MWs at the offer price.
Awarded MW	Numeric	N	Number of MWs awarded.
Awarded Price	Numeric	N	Market clearing price or mitigated price for the location, whichever is lower. For offers from internal locations, the MCP is for the auction award location. For offers from external locations, the MCP is for the offer generation location.
Awarded \$ Amount	Numeric	N	Calculated as Awarded MW * Awarded Price * 1000 (multiply again by 6 for Strip Auctions).
Mitigated MW	Numeric	N	Mitigated MW awarded.

Table 9.3

SECTION 9.3.2 VIEWING OFFER AUCTION RESULTS

The following screen, that allows users to select a variety of parameters, will appear:

Auction Offer Results								
Offers					Awards			
Offer #	location	PTID	Offer Price [(\$/kW-per month) expressed to nearest \$.01]	Offer MW (Expressed to nearest 0.001MW)	Awarded MW	Awarded Price (M.P./Mitigated \$/kW/Month)	Awarded \$ Amount	Mitigated MW
1	ROS		0.00	255.000	255.000	1.30	331,500.00	0.0
2	ROS		0.00	36.036	36.036	1.30	46,846.80	0.0
3	ROS		0.00	1.085	1.085	1.30	1,410.50	0.0
Total				292.121	292.121		379,757.30	0.0

Figure 9.6

Users should note that the “Auction Offer Results” tab will not display any data until parameters are specified. Season, auction type (strip, monthly, or spot), auction month, and offer month (if the auction type selected is monthly) may be specified on the yellow horizontal bar at the top of the screen:

Figure 9.7

After users click the “Display” button at the right-hand side of the screen, a new screen will appear displaying all offers and awards based on the specified parameters. By default, offers are ordered by offer number:

Auction Offer Results								
Offers					Awards			
Offer #	location	PTID	Offer Price [(\$/kW-per month) expressed to nearest \$.01]	Offer MW (Expressed to nearest 0.001MW)	Awarded MW	Awarded Price (M.P./Mitigated \$/kW/Month)	Awarded \$ Amount	Mitigated MW
1	ROS		0.00	255.000	255.000	1.30	331,500.00	0.0
2	ROS		0.00	36.036	36.036	1.30	46,846.80	0.0
3	ROS		0.00	1.085	1.085	1.30	1,410.50	0.0
Total				292.121	292.121		379,757.30	0.0

Figure 9.8

Offers may be sorted by awarded price, location, and PTID. To resort data by any of these parameters, users should click on the appropriate column heading.

## SECTION 9.4 HOW TO VIEW STRIP AUCTION SUMMARY

Users may view summaries of bid awards and offer awards from strip auctions by selecting "View Strip Auction Summary" from the main "Auction" menu displayed in Figure 9.1. Market Participants should note that the data described in this section is non-confidential and can be viewed by the public (i.e., no user name and password are required).

## SECTION 9.4.1 SCREEN DESCRIPTIONS

## YELLOW MENU BAR AND "STRIP AUCTION SUMMARY" SCREEN SECTION

Screen Field	Data Type	Editable	Description
Season	Text	Y	Defaults to open season. Select from list of available Seasons.
Auction Month	Text	Y	Select from list of auction months within the season.
Posted Date	Date	N	Date report posted to the Web.
LI	Text	N	Long Island locality
Awarded MW	Numeric	N	Sum of MWs awarded to bids for LI.
Price	Numeric	N	Market clearing price for LI.
NYC	Text	N	New York City locality
Awarded MW	Numeric	N	Sum of MWs awarded to bids for NYC.
Price	Numeric	N	Market clearing price for NYC.
ROS	Text	N	Rest-of-state
Awarded MW	Numeric	N	Sum of MWs awarded to offers for ROS.
Price	Numeric	N	Market clearing price for ROS offers.
HQ	Text	N	Hydro Quebec (external location)
Awarded MW	Numeric	N	Sum of MWs awarded to offers for HQ.
Price	Numeric	N	Market clearing price for HQ offers.
IMO	Text	N	Independent Electricity Market Operator (Ontario) (external location)
Awarded MW	Numeric	N	Sum of MWs awarded to offers for IMO.
Price	Numeric	N	Market clearing price for IMO offers.
NE	Text	N	ISO-New England (external location)
Awarded MW	Numeric	N	Sum of MWs awarded to offers for NE.
Price	Numeric	N	Market clearing price for NE offers.
PJM	Text	N	PJM control area (external location)
Awarded MW	Numeric	N	Sum of MWs awarded to offers for PJM.
Price	Numeric	N	Market clearing price for PJM offers.
Total ROS Awarded (MW)	Numeric	N	Sum of MWs awarded to bids for ROS (i.e., sum of ROS, HQ, IMO, NE, and PJM awarded MWs).
Total Awarded MW	Numeric	N	Sum of MWs awarded to bids for all locations.
ROS Price Paid by Bidders (weighted average)	Numeric	N	Weighted average of ROS, HQ, IMO, NE, and PJM MCPs (price paid by ROS bidders)
Footnotes	Text	N	Text entered by the NYISO.

Table 9.4

SECTION 9.4.2 VIEWING STRIP AUCTION SUMMARIES

The following screen, allowing users to select parameters, will appear:

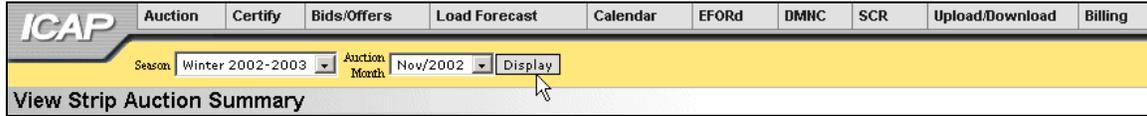


Figure 9.9

The "Strip Auction Summary" tab will appear after selecting "Season" and "Auction Month" on the yellow menu bar and clicking the "Display" button:

View Strip Auction Summary	
Winter 2002-2003 Strip Auction Results for UCAP, Auction Starting 05/2010 Posted Date: 11/18/2004 04:05 PM	
LI	
Awarded (MW)	11.2
Price (\$/kW - Month)	\$8.00
NYC	
Awarded (MW)	1245.3
Price (\$/kW - Month)	\$11.15
RDS	
Awarded (MW)	2441.0
Price (\$/kW - Month)	\$1.68
HQ	
Awarded (MW)	2.0
Price (\$/kW - Month)	\$1.68
IMO	
Awarded (MW)	0.0
Price (\$/kW - Month)	\$0.00
NE	
Awarded (MW)	0.0
Price (\$/kW - Month)	\$0.00
PJM	
Awarded (MW)	0.0
Price (\$/kW - Month)	\$0.00
<b>Total RDS Awarded (MW)</b>	<b>2443.0</b>
<b>Total Awarded (MW)</b>	<b>3699.5</b>
<b>RDS Price Paid By Bidders (Weighted Avg.)</b>	<b>\$1.680</b>
<b>Footnotes:</b>	

Figure 9.10

This screen displays Strip Auction summarized data by the Season selected.

### SECTION 9.5 HOW TO VIEW MONTHLY AUCTION SUMMARY

Users may view monthly auction awards by selecting “View Monthly Auction Summary” from the main “Auction” menu displayed in Figure 9.1. Market Participants should note that the data described in this section is non-confidential and can be viewed by the public (i.e., no user name and password are required).

#### SECTION 9.5.1 SCREEN DESCRIPTIONS

##### YELLOW MENU BAR AND “VIEW MONTHLY AUCTION SUMMARY” SCREEN SECTION

See Table 9.4. Please note that column headings indicate the applicable bid / offer of the displayed auction month.

#### SECTION 9.5.2 VIEWING MONTHLY AUCTION SUMMARIES

The following screen, allowing users to select parameters, will appear:

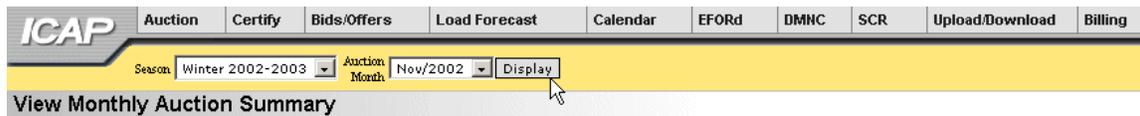


Figure 9.11

The “View Monthly Auction Summary” tab will appear after selecting “Season” and “Auction Month” on the yellow menu bar and clicking the “Display” button:

View Monthly Auction Summary						
Winter 2002-2003 Monthly Auction Results for ICAP, Auction Starting 05/2010 Posted Date: 12/21/2004 12:32 PM						
	May	Jun	Jul	Aug	Sep	Oct
<b>LI</b>						
Awarded (MW)	1.6	0.0	0.0	1.6	0.0	0.0
Price (\$/kW - Month)	\$8.00	\$0.00	\$0.00	\$8.00	\$0.00	\$0.00
<b>NYC</b>						
Awarded (MW)	2022.4	0.0	0.0	1234.0	0.0	0.0
Price (\$/kW - Month)	\$11.16	\$0.00	\$0.00	\$11.16	\$0.00	\$0.00
<b>RDS</b>						
Awarded (MW)	2489.7	0.0	0.0	420.0	0.0	0.0
Price (\$/kW - Month)	\$1.65	\$0.00	\$0.00	\$1.68	\$0.00	\$0.00
<b>HQ</b>						
Awarded (MW)	0.0	0.0	0.0	0.0	0.0	0.0
Price (\$/kW - Month)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>IND</b>						
Awarded (MW)	0.0	0.0	0.0	0.0	0.0	0.0
Price (\$/kW - Month)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>NE</b>						
Awarded (MW)	0.0	0.0	0.0	0.0	0.0	0.0
Price (\$/kW - Month)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>PJM</b>						
Awarded (MW)	0.0	0.0	0.0	0.0	0.0	0.0
Price (\$/kW - Month)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total RDS Awarded (MW)</b>	2489.7	0.0	0.0	420.0	0.0	0.0
<b>Total Awarded (MW)</b>	4513.7	0.0	0.0	1655.6	0.0	0.0
<b>RDS Price Paid By Bidders (Weighted Avg.)</b>	\$1.650	\$0.000	\$0.000	\$1.680	\$0.000	\$0.000
Footnotes:						

Figure 9.12

This screen displays total Monthly Auction awards for bid/ offer months within the month selected from the yellow menu bar.

## SECTION 9.6 HOW TO VIEW SPOT AUCTION SUMMARY

Users may view Spot Market Auction results by selecting “View Spot Auction Summary” from the main “Auction” menu displayed in Figure 9.1. Market Participants should note that the data described in this section is non-confidential and can be viewed by the public (i.e., no user name and password are required).

## SECTION 9.6.1 SCREEN DESCRIPTIONS

## YELLOW MENU BAR AND “VIEW SPOT AUCTION SUMMARY” SCREEN SECTION

Screen Field	Data Type	Editable	Rule
Season	Text	Y	Defaults to open season.  Select from list of available Seasons.
Auction Month	Text	Y	Defaults to open auction month. Select from available months within Season selected.
Posted Date	Date	N	Date report posted to the Web.
NYC	Text	N	New York City locality
Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MWs awarded for NYC.
Awarded Excess (MW)	Numeric	N	Sum of excess MWs awarded for NYC (awarded excess is credited to an LSE's ROS requirement).
% Excess Above Requirements	Numeric	N	Awarded Excess MW / UCAP Requirements for NYC.
Price (\$/kW-M)	Numeric	N	Market clearing price for NYC.
LI	Text	N	Long Island locality
Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MWs awarded for LI.
Awarded Excess (MW)	Numeric	N	Sum of excess MWs awarded for LI.
% Excess Above Requirements	Numeric	N	Awarded Excess MW / UCAP Requirements for LI.
Price (\$/kW-M)	Numeric	N	Market clearing price for LI.
NYCA	Text	N	New York Control Area
Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MWs for all NYCA entities.
Awarded Excess (MW)	Numeric	N	Sum of excess MWs awarded in locations within NYCA.
% Excess Above Requirements	Numeric	N	Awarded Excess MW / UCAP Requirements for NYCA.
Price (\$/kW-M)	Numeric	N	Market clearing price for all of NYCA (excluding external locations).

NE	Text	N	ISO-New England
Awarded as part of NYCA Def./Exc. (MW)	Numeric	N	MWs awarded to offers from NE. Included in NYCA deficiency excess MW figures.
Price (\$/kW-M)	Numeric	N	Market clearing price for NE offers.
IMO	Text	N	Independent Electricity Market Operator (Ontario)
Awarded as part of NYCA Def./Exc. (MW)	Numeric	N	MWs awarded to offers from IMO. Included in NYCA deficiency excess MW figures.
Price (\$/kW-M)	Numeric	N	Market clearing price for IMO offers.
PJM	Text	N	External control area (location)
Awarded as part of NYCA Def./Exc. (MW)	Numeric	N	MWs awarded to offers from PJM. Included in NYCA deficiency excess MW figures.
Price (\$/kW-M)	Numeric	N	Market clearing price for PJM offers.
HQ	Text	N	Hydro Quebec
Awarded as part of NYCA Def./Exc. (MW)	Numeric	N	MWs awarded to offers from HQ. Included in NYCA deficiency excess MW figures.
Price (\$/kW-M)	Numeric	N	Market clearing price for HQ offers.
Total Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MWs awarded for NYC, LI, and NYCA.
Total Awarded (MW)	Numeric	N	Sum of Total Awarded Deficiency plus Total NYCA Awarded Excess (MW).
ROS Price Paid by Bidders (weighted average price)	Numeric	N	Weighted average of ROS, HQ, IMO, NE, and PJM MCPs (price paid by NYCA LSEs).
Footnotes	Text	N	Footnoted text entered by the NYISO.

Table 9.6

SECTION 9.6.2 VIEWING MONTHLY AUCTION SUMMARIES

The following screen, allowing users to select parameters, will appear:

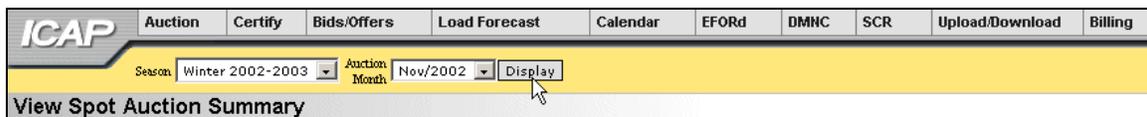


Figure 9.13

The “View Spot Auction Summary” tab will appear after selecting “Season” and “Auction Month” on the yellow menu bar and clicking the “Display” button:

View Spot Auction Summary	
Winter 2002-2003 Capability Period 05/2010 Spot Market Auction Results - UCAP Posted Date: 03/02/2005 12:00 PM	
05/2010	
<b>NYC</b>	
Awarded Deficiency [MW]	2,983,500
Awarded Excess [MW]	216,800
% Excess Above Requirement	2.54
Price [\$/kW-M]	\$11.42
<b>LI</b>	
Awarded Deficiency [MW]	16,300
Awarded Excess [MW]	81,200
% Excess Above Requirement	1.71
Price [\$/kW-M]	\$9.83
<b>NYCA</b>	
Awarded Deficiency [MW]	2,950,900
Awarded Excess [MW]	3,328,000
% Excess Above Requirement	9.37
Price [\$/kW-M]	\$1.30
<b>NE</b>	
Awarded as part of NYCA Def./Exc. [MW]	0.000
Price [\$/kW-M]	\$0.00
<b>IMG</b>	
Awarded as part of NYCA Def./Exc. [MW]	0.000
Price [\$/kW-M]	\$0.00
<b>PJM</b>	
Awarded as part of NYCA Def./Exc. [MW]	0.000
Price [\$/kW-M]	\$0.00
<b>HQ</b>	
Awarded as part of NYCA Def./Exc. [MW]	0.000
Price [\$/kW-M]	\$0.00
Total Awarded Deficiency [MW]	5,993,700
Total Awarded [MW]	8,888,700
RDS Price Paid By LSE's [Weighted Avg.]	\$1.300
Footnotes: External CA MW are included in the NYCA MW Totals	

Figure 9.14

This screen displays Spot Market Auction Awards and summarizes the awards, for the month selected, by location, awarded deficiency, and awarded excess.

## SECTION 9.7 HOW TO VIEW REBATE SUMMARY

Users may view a summary of locational rebates for mitigated capacity by selecting “View Rebate Summary” from the main “Auction” menu displayed in Figure 9.1.

## SECTION 9.7.1 SCREEN DESCRIPTIONS

## YELLOW MENU BAR AND “VIEW REBATE SUMMARY” SCREEN SECTION

Screen Field	Data Type	Editable	Description
Season	Text	Y	Defaults to open season. Select from list of available Seasons.
Location	Text	Y	Select from NYC, LI, and ROS locations (currently only NYC can have rebates).
<b>Auction</b>			
Strip	Numeric	N	Sum of mitigated rebates by bid month in season for the strip auction (same amount for every month).
Monthly – Month1	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month1 auction.
Spot – Month1	Numeric	N	Sum of mitigated rebates for the Month1 month for the spot market auction.
Monthly – Month2	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month2 auction..
Spot – Month2	Numeric	N	Sum of mitigated rebates for the Month2 month for the spot market auction.
Monthly – Month3	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month3 auction.
Spot – Month3	Numeric	N	Sum of mitigated rebates for the Month3 month for the spot market auction.
Monthly – Month4	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month4 auction.
Spot – Month4	Numeric	N	Sum of mitigated rebates for the Month4 month for the spot market auction.
Monthly – Month5	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month5 auction.
Spot – Month5	Numeric	N	Sum of mitigated rebates for the Month5 month for the spot market auction.
Monthly – Month6	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month6 auction.
Spot – Month6	Numeric	N	Sum of mitigated rebates for the Month6 month for the spot market auction.

Supply Award Rebate	Numeric	N	Supplemental Award rebate for each month in season.
Total	Numeric	N	Sum of all rebates by month.
Footnotes	Text	N	Footnoted text entered by the NYISO.
Posted Date	Date	N	Date report posted to Web.

Table 9.7

### SECTION 9.7.2 VIEWING REBATE SUMMARIES

The following screen, allowing users to select parameters, will appear:

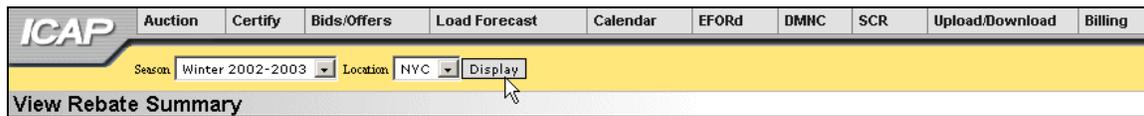


Figure 9.15

The “View Rebate Summary” tab will appear after selecting “Season” and “Location” on the yellow menu bar and clicking the “Display” button:



Figure 9.16

This screen displays rebates for mitigated capacity that was purchased at a market-clearing price greater than the mitigated price cap and summarizes awards by Auction Type and Bid Month, within the Season, through the most recently closed Spot Market Auction.

## SECTION 10.0 EFFECTIVE FORCED OUTAGE RATE ON DEMAND RATINGS (EFORD)

This section describes how to view seasonal EFORDs.

### SECTION 10.1 HOW TO VIEW SEASONAL EFORDS

Suppliers may view the seasonal EFORD factors used to translate a generator's DMNC rating into a seasonal UCAP rating. This information is accessed from the EFORD option on the top level navigation bar:



Figure 10.1

By selecting the “Maintain Seasonal EFORD” option from the main menu, the following screen will appear:

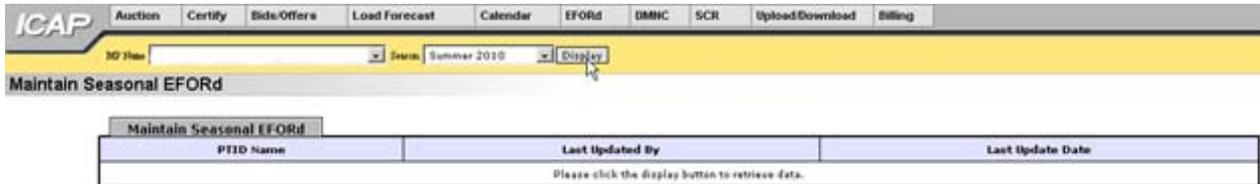


Figure 10.2

### SECTION 10.1.1 SCREEN DESCRIPTIONS

#### YELLOW MENU BAR AND “MAINTAIN SEASONAL EFORD” SCREEN SECTION

Screen Field	Data Type	Editable	Rule
MP Name	Text	Y	Defaults based on logon.
Season	Text	Y	Defaults to current Capability Season. Select from list of capability seasons.
PTID Name	Text	N	List of all PTIDS Numbers followed by PTID Names.
Months (6 column headings)	Text	N	The six months of the selected capability season.
EFORD factors per month	Numeric	N	Seasonal EFORD rating. The number shown is the average of the 6 most recent EFORD calculations (using 12-months of GADS data on a rolling basis). This value is used to calculate the UCAP rating of a PTID for a capability season.
Last Updated By	Text	N	User that last updated the EFORD. This user will always be a NYISO employee.
Last Update Date	Date	N	Date EFORD last updated.

Table 10.1

SECTION 10.1.2 VIEWING EFORDs

After selecting the appropriate capability season on the yellow navigation bar, users should click the "Display" button at the top of the screen:

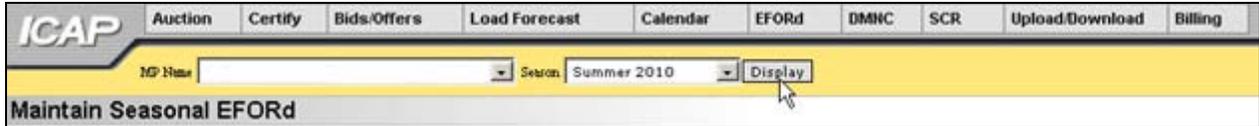


Figure 10.3

The resulting screen will display all PTIDs for the organization, ten at a time, with seasonal EFORD factors for every month of the selected capability season.

PTID Name	May 2010	Jun 2010	Jul 2010	Aug 2010	Sep 2010	Oct 2010	Last Updated By	Last Update Date
	0.0393	0.0393	0.0393	0.0393	0.0393	0.0393		31-Jan-2005 11:03 AM
	0.0511	0.0511	0.0511	0.0511	0.0511	0.0511		31-Jan-2005 11:03 AM
	0.0487	0.0487	0.0487	0.0487	0.0487	0.0487		31-Jan-2005 11:03 AM

Figure 10.4

For all summer Capability Periods, EFORD factors for May through October will display and for all winter Capability Periods, values for November through April will display. If more than ten records exist, "Next 10/ Prev 10" buttons will appear the top of the "Maintain Seasonal EFORD" tab to enable users to navigate between screens.

Care should be taken when interpreting the displayed EFORD values. Although a value is shown for every month of the selected season, the value is actually not a monthly EFORD value but rather an average of the 6 most recent (prior to the beginning of the selected capability period) calculated EFORDs. In general, the displayed values will be identical for all six months. Only in rare circumstances would the seasonal EFORD value of a PTID be changed within the months of a capability season. The seasonal EFORD value displayed is used to calculate the UCAP rating of a PTID for the appropriate months.

Example: In Figure 10.4, the Summer 2005 seasonal EFORD is calculated as the average of the 6 most recent EFORD calculations (using 12-months of rolling data) at the time of the seasonal EFORD calculation (usually in early March). Therefore the 6 EFORD values averaged to calculate the displayed seasonal EFORD are as follows:

1. EFORD #1 = EFORD calculated from GADS data for the months of September 2009 through August 2010
2. EFORD #2 = EFORD calculated from GADS data for the months of October 2009 through September 2010
3. EFORD #3 = EFORD calculated from GADS data for the months of November 2009 through October 2010
4. EFORD #4 = EFORD calculated from GADS data for the months of December 2009 through November 2010
5. EFORD #5 = EFORD calculated from GADS data for the months of January 2009 through December 2010
6. EFORD #6 = EFORD calculated from GADS data for the months of February 2009 through January 2010

Note: the six EFORD calculated numbers are *NOT* the values displayed on the "Maintain Seasonal EFORD" page. The value displayed is the *average* of the six most recent calculated EFORD values and applies for every month of the season in most instances.

## SECTION 11.0 DEPENDABLE MAXIMUM NET CAPABILITY

This section describes how Dependable Maximum Net Capability (DMNC) and Proven Maximum Production Capability (PMPC) data is captured and used in the auction automation system. The DMNC test data is used in conjunction with EFORD data to calculate the available capacity of each generator. The following functions are described:

- How to Maintain DMNC/ PMPC Results
- How To View Monthly DMNC and PMPC Test Results

Capacity Suppliers must follow certain procedures and provide pertinent information to the ISO in order to qualify as ICAP suppliers. One of the requirements necessary to qualify as an ICAP supplier includes DMNC testing. DMNC test procedures are described in greater detail in Section 4.2 of the ICAP Manual and Section 5.11.8 of the ISO Services Tariff.

Upload / download templates for DMNC/PMPC test result data are described in section 13 of this User’s Guide.

## SECTION 11.1 HOW TO MAINTAIN DMNC / PMPC RESULTS

Generation suppliers can enter, maintain, and view their DMNC and PMPC data. The functionality and menus described in this section are not available to Transmission Owner Accounts. In order to maintain the data associated with the screens described below, the user’s “DMNC” capability flag must checked – otherwise these screens will be provide read-only access.

Users may access the “Maintain DMNC / PMPC Results” screens from the main menu:

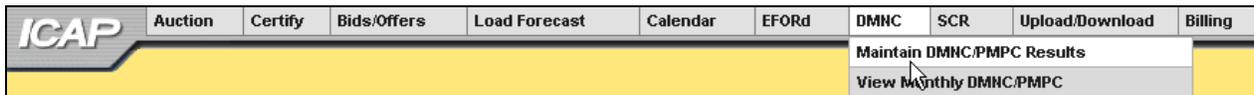


Figure 11.1

### SECTION 11.1.1 SCREEN DESCRIPTIONS

The screens described in this section utilize the yellow menu bar and three screen sections: “Filter,” “Add DMNC/PMPC,” “Maintain DMNC/PMPC.” “Add DMNC/PMPC” is available only for users with DMNC maintenance capability. The fields and associated descriptions for the menu bar and the screen sections are enumerated below:

#### YELLOW MENU BAR

Screen Field	Data Type	Editable	Description
Supplier	Text	N	Market Participant’s name.
Season	Text	Y	Season in which DMNC/PMPC test was performed.
Test Period	Text	N	Test period for selected season. This field is updated only after selecting the “Display” button.

Table 11.1

**“FILTER” SCREEN SECTION**

Screen Field	Data Type	Editable	Description
PTID Type	Text	Y	Filters “Maintain DMNC/PMPC” table (see table 11.3) based on Generation Category.  Select from a list of ‘Internal’, ‘External’, ‘SCR’, ‘All’.
Generation Type	Text	Y	Select from a list of valid generation types. Filters “Maintain DMNC/PMPC” table based on Generation Type.  Values include: Combustion, Combined Cycle, Hydro, Fossil Fuel, Nuclear Steam, Intermittent, Energy Limited, Other, and All.
Test Type	Text	Y	Filters “Maintain DMNC/PMPC” table based on Test Type.  Select from list consisting of values : ‘DMNC’, ‘PMPC’, and “All.”
Unapproved	Text	Y	Filters “Maintain DMNC/PMPC” table based on whether test has been approved or rejected by the NYISO (‘Yes’) or has yet to be acted upon (‘No’).  Select from a list of ‘All’, ‘Yes’, ‘No’.

Table 11.2

**“ADD DMNC/PMPC” SCREEN SECTION**

Screen Field	Data Type	Editable	Description
Test Type	Text	Y	Indicates the type of test being entered. Defaults to ‘All’.  Select from list consisting of values : ‘DMNC’, ‘PMPC,’ and ‘All’.
PTID Name	Text	Y	Sorts in ascending order by PTID/SCR# and defaults to first PTID in list.  Select from list of PTIDs and SCR numbers associated with the filter criteria selected.
Date of Test	Date	Y	Date test was executed (mm/dd/yyyy). The value must be within selected ‘Season’ on the yellow menu bar.

Begin Hour	Numeric	Y	Hour test began. Select from list of values 0 thru 23.
Avg Amb Temp. (°F)	Number	Y	Average ambient and cooling system temperature experienced at the time of the Transmission District's Summer/Winter peak during the previous for Summer/Winter Capability Periods.  Format 999.99 (Valid values -999.99 to 999.99)
Pre Test Rating (MW)	Number	Y	Previous like season post-test rating. If value is present from within data within the automated system, the value will be displayed automatically and will not be modifiable.  Format 9999.9 (Valid values 0 to 9999.99)
Test Temp (°F)	Number	Y	Format 999.99 (Valid values -999.99 to 999.99)
Hour 1 (MW)	Number	Y	DMNC/PMPC test result for Hour 1.  Format 9999.9 (Valid values 0 to 9999.99)
Hour 2 (MW)	Number	Y	DMNC/PMPC test result for Hour 2, can be omitted if only a 1 hour test.  Format 9999.9 (Valid values 0 to 9999.99)
Hour 3 (MW)	Number	Y	DMNC/PMPC test result for Hour 3, can be omitted if only a 1 hour test.  Format 9999.9 (Valid values 0 to 9999.99)
Hour 4 (MW)	Number	Y	DMNC/PMPC test result for Hour 4, can be omitted if only a 1 hour test.  Format 9999.9 (Valid values 0 to 9999.99)
Per Curve (MW)	Number	Y	Additional information regarding temperature adjustment (optional).  Format 9999.9 (Valid values 0 to 9999.99)
Effective Date	Date	Y	Auction date that results are valid for. Must be in the future and must be greater than the Date of Test (mm/dd/yyyy). For example, if date of test = 07/15/2004, Effective Date could be set to 05/01/2005 to be effective for the May 2005 auction month.
Remarks	Text	Y	Additional or informational text used by the supplier to contextualize the data.

Table 11.3

**“MAINTAIN DMNC/PMPC” SCREEN SECTION**

Screen Field	Data Type	Editable	Description
Generation Type	Text	N	Generation type associated with the PTID.
PTID Type	Text	N	PTID Type. Values include: 'Internal,' 'External,' and 'SCR.'
PTID Name	Text	N	PTID Name.
Test Type	Text	N	DMNC or PMPC.
Date of Test	Date	N	Date test was executed (mm/dd/yyyy).
Beg Hour	Numeric	N	Hour test began. Must be value of 0 thru 23.
Avg Amb Temp (°F)	Number	N	Average ambient and cooling system temperature experienced at the time of the Transmission District's Summer/Winter peak during the previous for Summer/Winter Capability Periods.  Format 999.99
Pre Test Rating (MW)	Number	N	Previous like season post-test rating. Format 9999.9
Test Temp (°F)	Number	N	Temperature when test was performed.  Format 999.99
Demonstrated MW Hour 1 (MW)	Number	N	Hour 1 test output.  Format 9999.9
Demonstrated MW Hour 2 (MW)	Number	N	Hour 2 test output  Format 9999.9
Demonstrated MW Hour 3 (MW)	Number	N	Hour 3 test output  Format 9999.9
Demonstrated MW Hour 4 (MW)	Number	N	Hour 4 test output  Format 9999.9
Average (MW)	Number	N	Average of entered Demonstrated hours. Sum of non-zero values for demonstrated tests divided by number of non-zero tests.
Per Curve (MW)	Number	N	Additional information regarding temperature adjustment (optional).  Format 9999.9
Post Test Rating (MW)	Number	N	See business rules for values.  Format 9999.9

Excess / Deficiency (MW)	Number	N	Computed as Demonstrated – Post Test Rating. Format –9999.9
Effective Date	Date	N	Calendar date data becomes effective.  Format (mm/dd/yyyy)
Remarks	Text	Y	Free Format – up to 100 characters.
Status	Text	Y	Status. Values: Approved, Unapproved, Undecided
Last Update By	Text	N	User that last updated the row
Last Update Date	Date	N	Date row was last updated

Table 11.4

### SECTION 11.1.2 ENTERING DMNC/PMPC DATA

Market Participants should select “Supplier” and “Season” (the capability period when the DMNC/PMPC was performed) from the yellow menu bar and click the “Display” button. The following screen, populated with existing data for the selected season, will be displayed:

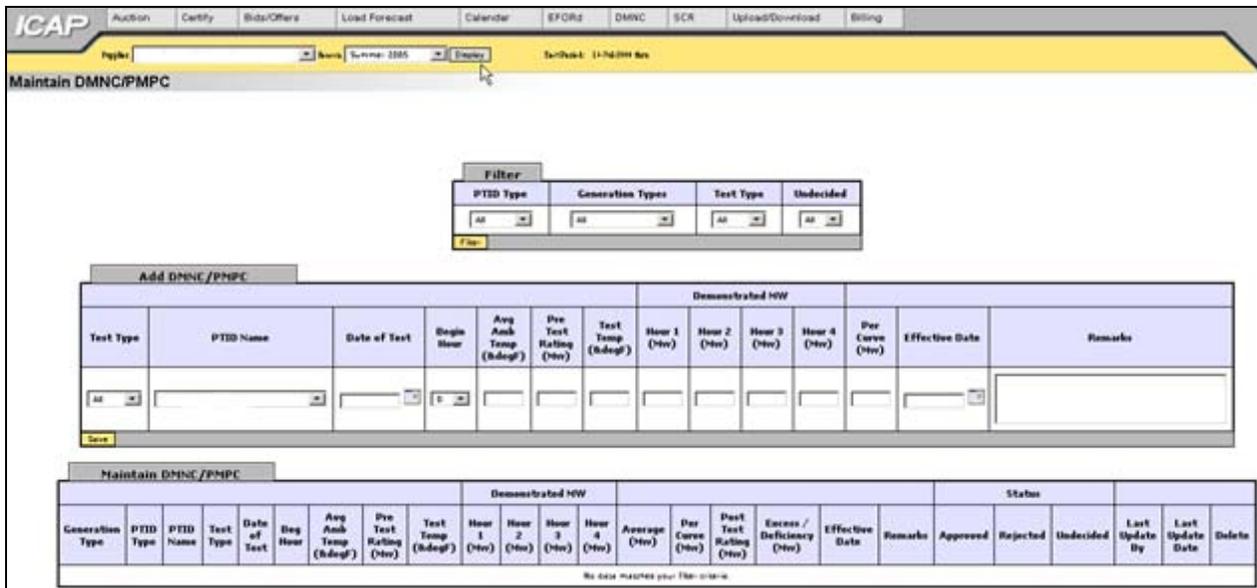


Figure 11.1

Users should note that the date of the test period for the selected season is displayed in the yellow menu bar:

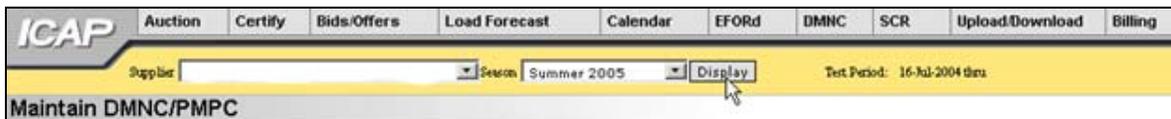


Figure 11.2

Users must enter all test results through the “Add DMNC/PMPC” screen section:

Figure 11.3

Descriptions of the fields for this screen section are available in Table 11.3. Test result may be entered by supplying data in the following fields: Test Type, PTID Name, Date of Test, Begin Hour, Avg Amb Temp, Pre Test Rating, Test Temp, Demonstrated MW (Hours 1-4), Per Curve, Effective Date, and Remark. Users should note that the Auction Automation software creates a default Pre-test rating based on the last like capability season’s Post-Test Rating. This means that if a like capability season Post-Test rating exists, the Pre Test Rating field will not be editable.

Market Participants may save their test results by clicking the “Save” button directly under the “Test Type” field. The data will be validated according to the following validation rules:

- “Effective Date” is a required field. The date must be greater than the system date and cannot be for the same month as the “Date of Test” field month.
- “Effective Date” cannot be for a month for which the Spot Market Auction has already been run.
- PTID Name, Date of Test, Begin Hour and Pre Test Rating, if not supplied automatically by the system, are required
- The number of entries of test hours used to demonstrate MWs must be equal to or greater than the minimum number required based on Generation Type (see Table 11.5).
- Generation Type is used to determine if average ambient temp and test temp are required fields (see Table 11.5).
- A Special Case Resource (SCR) requires at least one hour of demonstrated MW capacity.

Generation Type	Minimum Number of Test Hours	Avg Amb Temp & Test Temp Required
Combustion	1	Y
SCR	1	N
Combined Cycle	4	Y
Hydro	4	N
Other	4	N
Energy Limited Resource (ELR)	4	N
Fossil Fuel	4	N
Nuclear Steam	4	N
Intermittent	4	N

Table 11.5

Market Participants are allowed to enter all test results into the system. Results that have been saved and successfully validated will appear in the “Maintain DMNC/PMPC” screen section. However, the NYISO will not automatically approve all test results for use in an upcoming auction. Results in the “Maintain DMNC/PMPC” screen are color-coded according to whether they violate either of two conditions. If the post-test results are greater than the pre-test results (Red), data is colored red. If Market Participants enter, “Out-of-Season” test results for two consecutive seasons, the data is colored blue. All tests results that have been approved by the NYISO will be used in the certification process.

**SECTION 11.1.3 ENTERING EFFECTIVE DATES**

Users may enter an effective date by selecting the calendar icon directly adjacent to the “Effective Date” field. By navigating within the calendar pop-up to a date that meets the conditions described in Table 11.3 and selecting the date in the calendar, the date will appear in the “Effective Date” field.

**SECTION 11.1.4 ENTERING PRE-TEST RATINGS**

If a previous like capability season post-test rating does not exist, the “Pre-Test Rating” field on the “Add DMNC/PMPC” screen section will be blank and editable. Market Participants must manually enter this data into the field.

**SECTION 11.1.5 MODIFYING REMARKS**

After Market Participants enter and save DMNC and/or PMPC data, they can modify the remark field through the “Maintain DMNC/PMPC” screen section. Modified remarks can only be saved if users click the “Save” button after editing the “Remark” field. Please see figure 11.4 below for a view of an editable “Remark” field

**SECTION 11.1.6 DELETING TEST RESULTS**

Users may delete DMNC and PMPC data, directly from the “Maintain DMNC/PMPC” screen section if the NYISO has not approved or rejected the test results. To delete results, users should check the box in the “Delete” field and click the “Save” button:

Remarks	Status			Last Update By	Last Update Date	Delete
	Approved	Rejected	Undecided			
	X			Art Desell	14-Sep-2004 10:22 AM	
	X			Art Desell	14-Sep-2004 10:22 AM	
	X			Art Desell	14-Sep-2004 10:22 AM	
Test data			X	Bryan Sambrook	27-Sep-2004 01:09 PM	<input checked="" type="checkbox"/>

Figure 11.4

**SECTION 11.1.7 FILTERING DMNC/PMPC TEST RESULTS**

Test results that have been saved through the “Add DMNC/PMPC” screen section and are visible through the “Maintain DMNC/PMPC” screen section may be filtered through the “Filter”

screen section. This feature limits data in instances where users have entered test results for multiple units:

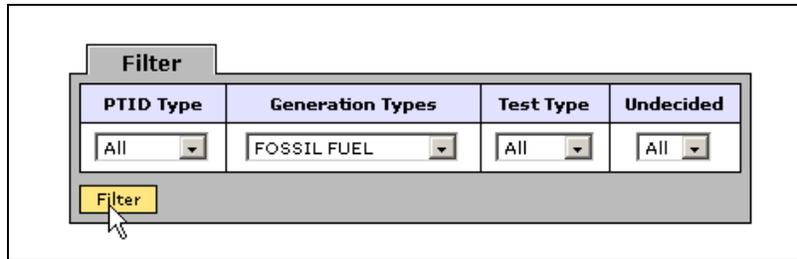


Figure 11.5

Data can be filtered by PTID type, generation type, test type, and the NYISO’s approval/rejection of test results. After selecting these parameters and clicking the “Filter” button, the data will appear in the “Maintain DMNC/PMPC” screen section.

**SECTION 11.2 HOW TO VIEW MONTHLY DMNC AND PMPC TEST RESULTS**

This functionality allows users to view DMNC and PMPC “active” data (“active” denoting test results that are in effect) *by month* for selected capability seasons. Users may access the “View Monthly DMNC / PMPC” screens from the main menu:

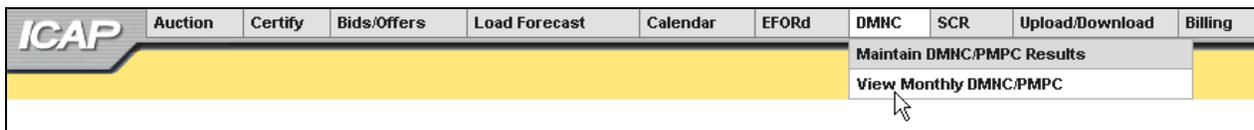


Figure 11.6

**SECTION 11.2.1 SCREEN DESCRIPTIONS**

The screens described in this section utilize the “Supplier” yellow menu bar (see table 11.1) and two screen sections: “Filter” (see Table 11.2) and “View Monthly DMNC/PMPC” (see Table 11.6) The fields and associated descriptions for the “View Monthly DMNC/PMPC” screen section is enumerated below:

**“VIEW MONTHLY DMNC/PMPC” SCREEN SECTION**

Screen Field	Data Type	Editable	Description
Supplier	Text	N	Market Participant name.
PTID Type	Text	N	‘Internal’, ‘External’, ‘SCR’
Generation Type	Text	N	Generation Types associated with PTID.
PTID Name	Text	N	PTID Number and Name.
Auction Month (Header)	Text	N	All auction months in selected season
Date of Test	Date	N	Date test was executed (mm/dd/yyyy)
Rating	Number	N	DMNC/PMPC rating

Table 11.6



<u>REVISION HISTORY:</u>	
Date:	Additions, deletions, modifications:
October 1, 2004	Distributed and posted
October 21, 2004	Updated required fields for Upload DMNC. Status removed, per_curve now optional, separate rules for SCR
February 23, 2005	<ul style="list-style-type: none"> <li>• CHARs in Upload/Download responses now surrounded by " "</li> <li>• Updated examples for accuracy</li> <li>• TIME_STAMP format updated (removed the seconds field ":ss")</li> <li>• LAST_UPDATE_DATE format updated</li> <li>• Download Internal Sales Allocations template removed (no longer valid)</li> </ul> <p>Download Offers:</p> <ul style="list-style-type: none"> <li>• PTID_TYPE field added to response parameters</li> </ul> <p>Upload/Download Load Forecasts:</p> <ul style="list-style-type: none"> <li>• FORECAST_DATE format updated</li> </ul> <p>Download Bilaterals, Download Certification Details:</p> <ul style="list-style-type: none"> <li>• TYPE and SEC_PARTY formats updated</li> </ul>

## SECTION 13.0 UPLOAD / DOWNLOAD

Where previous sections in this User's Guide have described using the web interface to enter data into the auction system, this section describes functionality that uses programmatic interfaces that have been developed by Market Participants. This upload/download functionality facilitates the quick and efficient transfer of large sets of data between ICAP auction participants and the NYISO.

The data that is prepared by the Market Participant or is returned by the automated system in response to a Market Participant's bid or a query is a text file consisting of multiple records, each with one or more comma separated value fields. This type of file is known as comma separated value, or "CSV."

This section assumes prior knowledge in the use of NYISO MIS upload/download batch procedures. For additional information on the upload/download batch procedures, and the related Digital Certificate requirements, please refer to Section 8 of the [NYISO Market Participant User's Guide](#) (MPUG).

### SECTION 13.1 HOW TO SEND AND RECEIVE UPLOAD DOWNLOAD FILES

Using the Upload/Download Batch interface requires selecting Upload/Download through a series of hyperlinks from the ICAP Auction home page. A Web Browser or a customer application that supports authentication and encryption is required to gain access.

From the ICAP Auction home page, select the "Upload/Download" option at the right of the horizontal menu bar.

With the proper Digital Certificate, the ICAP Upload/Download display appears:



Figure 13.1

The user then selects a file from his/her local disk by typing a file name or using the (file) Browse button. When the user clicks on the "SUBMIT" button, the input file is sent to the web server where it is received by the ICAP auction interface program.

An application processes the information in the template and generates a response. The browser receives and displays the CSV text response, which can then be saved as a file, if desired, on the Market Participant's local computer.

There are four upload templates and eight download templates available for the ICAP auctions:

**Upload Templates:**

- Bids
- Offers
- Load Forecasts
- DMNC Results

**Download Templates:**

- Bids
- Offers
- Load Forecasts
- Bilaterals
- Certification Detail Transactions
- Summary of Purchases and Sales
- PTID Capacity
- DMNC Results

These templates are described in the following five sections: 13.2 – Bids to Purchase, 13.3 – Offers to Sell, 13.4 – Record Load Forecasts, 13.5 – Certification, 13.6 – DMNC. The template descriptions are organized in the manner in which batch templates are presented in section 8.1.3 of the MPUG: template body (i.e., upload bids), data dictionary, template body submission fields, template body response fields, input file example, and output file example.

For each parameter used in a request or returned with a response, the parameter's definition is supplied. Two data type formats are provided:

- a CHAR(x) format indicates a variable length string with maximum number of characters equal to 'x'. A CHAR format without 'x' indicates a string of unrestricted length.

- a NUM(x,y) format indicates a maximum of 'x' digits excluding decimal point and sign, with 'y' digits of precision. For example, NUM(5,1) has limits of -9999.9 to 9999.9. A NUM format without 'x' and 'y' indicates an unrestricted numeric.

The Data Dictionary sections, included below within their corresponding template definitions, are not designed to show the order of the parameters. An ordered list of parameters that the program expects and returns is provided in the templates under the Request and Response sections. Required parameters are shown in bold under the Request section of the template. For download templates, non-required fields in the Request template provide for the ability to further filter the response.

Certain fields are common to all the UCAP templates. The data dictionary below lists these fields.

Parameter	Data Type	Description
TRAN_TYPE	CHAR	Name of template.
USERID	CHAR	UCAP user account name. Used only in upload and download request headers.
PASSWORD	CHAR	UCAP user account password. Used only in upload and download request headers.
DATA_ROWS	NUM(4)	Number of rows uploaded or downloaded. Used only in upload request headers and upload and download response headers.
MESSAGE	CHAR	Error Message. Used only in upload and download response headers when there is an error message. Field will be blank otherwise.
TIME_STAMP	CHAR	Time the request was processed, in prevailing Eastern Time: MM/DD/YYYY hh:mm MM = 01 – 12 (month) DD = 01 – 31 (day) YYYY = 0000 – 9999 (year) hh = 00 – 23 (hour) mm = 00 – 59 (minute)  Indicates time request was processed (ex: "02/09/2004 14:34").  Used only in upload and download response headers.

### SECTION 13.1.1 REQUEST FILE FORMAT

Each request file is comprised of both a header and detail component. The header for each request file is identical, while the detail format is unique to each template. The one exception is DATA\_ROWS, which only should be used for upload templates.

The *names* of the fields in the headers (TRAN\_TYPE, USERID, etc) are case-sensitive and must be capitalized. This applies to both upload and download templates headers. The *values* of parameters in upload /download requests are not case-sensitive.

The different name/value pairs in the header must be separated by a '&'. The use of the '&' after the last name/value pair is not needed.

Each upload template defines the order in which the detail fields must be submitted. For the request to be processed successfully, these parameters must be submitted in the specified order. Spaces in the detail rows between fields should be avoided. See example below for reference.

The example below is a sample request file for an upload template:

```
TRAN_TYPE=UCAP_UPLOAD_BID&
USERID=webuser&
PASSWORD=webuser&
DATA_ROWS=1
strip,05/2004,05/2004,ROS,50.1,123.45
```

} Header

} Detail

The example below is a sample request file for a download template:

```
TRAN_TYPE=UCAP_DOWNLOAD_BID&
USERID=webuser&
PASSWORD=webuser&
AUCTION_TYPE=monthly&
AUCTION_MONTH_YEAR=05/2004&
BID_MONTH_YEAR=07/2004
```

} Header

} Detail

### SECTION 13.1.2 RESPONSE FILE FORMAT

Similar to requests, each response file has a header and detail component. However, the different name/value pairs in the header are no longer separated by a '&'. The header for each response is identical and is listed below. The message field only appears if there was an error processing the template.

The example below is a sample response file after a successful request:

```
TIME_STAMP=03/05/2004 15:20
TRAN_TYPE=UCAP_UPLOAD_BID
```

} Header

DATA\_ROWS=1  
strip,05/2004,05/2004,ROS,50.1,123.45 } Detail

The example below is a sample response file after an error has occurred in processing a request:

TIME\_STAMP=03/05/2004 15:20  
TRAN\_TYPE=UCAP\_UPLOAD\_BID  
DATA\_ROWS=0  
MESSAGE=Error-specific message. } Header

## SECTION 13.2 TEMPLATES FOR BIDS TO PURCHASE

## SECTION 13.2.1 DATA DICTIONARY

Parameter	Data Type	Description
AUCTION_TYPE	CHAR(8)	STRIP or MONTHLY
AUCTION_MONTH_YEAR	CHAR(8)	MM/YYYY
BID_MONTH_YEAR	CHAR(8)	MM/YYYY  When AUCTION_TYPE = STRIP, BID_MONTH_YEAR must be the same as AUCTION_MONTH_YEAR
LOCATION	CHAR(3)	NYC, LI or ROS
BID_MW	NUM(7,1)	Bid megawatts
BID_AMOUNT	NUM(8,2)	Bid \$/KW/Month
LAST_UPDATE_USER	CHAR	Last person to update row.
LAST_UPDATE_DATE	CHAR	DD-Mmm-YYYY hh:mm AM/PM  DD = 01 – 31 (day) Mmm = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute)  Date row last updated (ex: "09-Feb-2004 02:34 PM").

## SECTION 13.2.2 UPLOAD BIDS TEMPLATE

TRAN\_TYPE=UCAP\_UPLOAD\_BID

## SECTION 13.2.2.1 REQUEST PARAMETERS

AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, BID\_MONTH\_YEAR, LOCATION, BID\_MW,  
BID\_AMOUNT

## SECTION 13.2.2.2 RESPONSE PARAMETERS

The response to an upload consists of a header that describes which upload was requested, when it was processed and how many rows were successfully processed. A message will also appear if an error occurred. Following the header will be the detail, which will consist of one row per row successfully processed.

AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, BID\_MONTH\_YEAR, LOCATION, BID\_MW,  
BID\_AMOUNT

#### SECTION 13.2.2.3 REQUEST FILE EXAMPLE

TRAN\_TYPE=UCAP\_UPLOAD\_BID&  
USERID=webuser&  
PASSWORD=webuser&  
DATA\_ROWS=1&  
strip, 04/2004,05/2004,ROS, 50.1, 123.45

#### SECTION 13.2.2.4 RESPONSE FILE EXAMPLE

TIME\_STAMP=03/05/2004 15:20:49  
TRAN\_TYPE=UCAP\_UPLOAD\_BID  
DATA\_ROWS=1  
strip, 04/2004,05/2004,ROS, 50.1, 123.45

### SECTION 13.2.3 DOWNLOAD BIDS TEMPLATE

TRAN\_TYPE=UCAP\_DOWNLOAD\_BID

#### SECTION 13.2.3.1 REQUEST PARAMETERS

AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, BID\_MONTH\_YEAR

#### SECTION 13.2.3.2 RESPONSE PARAMETERS

AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, BID\_MONTH\_YEAR, LOCATION, BID\_MW,  
BID\_AMOUNT, LAST\_UPDATE\_USER, LAST\_UPDATE\_DATE

#### SECTION 13.2.3.3 REQUEST FILE EXAMPLE

TRAN\_TYPE=UCAP\_DOWNLOAD\_BID&  
USERID=webuser&  
PASSWORD=webuser&  
AUCTION\_TYPE=monthly&  
AUCTION\_MONTH\_YEAR=05/2004&  
BID\_MONTH\_YEAR=07/2004&

#### SECTION 13.2.3.4 RESPONSE FILE EXAMPLE

TIME\_STAMP=07/26/2003 14:10  
TRAN\_TYPE=UCAP\_DOWNLOAD\_BID  
DATA\_ROWS=2  
"monthly","05/2004","07/2004","ROS",100.1,50.00,"webuser","04-Apr-2004 09:30 AM"  
"monthly","05/2004","07/2004","NYC",17.8,14.78,"webuser","04-Apr-2004 03:11 PM"

## SECTION 13.3 TEMPLATES FOR OFFERS TO SELL

## SECTION 13.3.1 DATA DICTIONARY

Parameter	Type	Description
AUCTION_TYPE	CHAR(8)	STRIP, MONTHLY, or SPOT
AUCTION_MONTH_YEAR	CHAR(8)	MM/YYYY
OFFER_MONTH_YEAR	CHAR(8)	MM/YYYY  When AUCTION_TYPE = STRIP or SPOT, OFFER_MONTH_YEAR must be the same as AUCTION_MONTH_YEAR
LOCATION	CHAR(3)	NYC, LI, ROS, PJM, HQ, IMO or NE
OFFER_MW	NUM(7,1)	Offer megawatt. [Format for upload requests and responses.]
	NUM(9,3)	Offer megawatt. [Format for download responses.]
OFFER_AMOUNT	NUM(8,2)	Offer \$/KW/Month
PTID_TYPE	CHAR(3)	Required if specifying PTID. Valid values are GEN or SCR.
PTID	NUM(8)	Required if PTID_TYPE is specified.
MIT_GEN_GROUP	CHAR(50)	Mitigated generator group
LAST_UPDATE_USER	CHAR	Last person to update row.
LAST_UPDATE_DATE	CHAR	DD-Mmm-YYYY hh:mm AM/PM  DD = 01 – 31 (day) Mmm = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute)  Date row last updated (ex: "09-Feb-2004 02:34 PM").

## SECTION 13.3.2 UPLOAD OFFERS TEMPLATE

TRAN\_TYPE=UCAP\_UPLOAD\_OFFER

## SECTION 13.3.2.1 REQUEST PARAMETERS

There are two main scenarios that cover how offers to sell can be submitted. The difference lies in whether the location is external or internal. The response to both will always have the same format.

**INTERNAL LOCATION**

If the specified offer is for an internal then PTID\_TYPE and PTID can only be entered (optional) if auction type is 'SPOT', otherwise they have to be null.

**AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, OFFER\_MONTH\_YEAR, LOCATION, OFFER\_MW, OFFER\_AMOUNT, PTID\_TYPE, PTID, MIT\_GEN\_GROUP**

**EXTERNAL LOCATION**

If the specified offer is for an external offer then PTID\_TYPE and PTID are required.

**AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, OFFER\_MONTH\_YEAR, LOCATION, OFFER\_MW, OFFER\_AMOUNT, PTID\_TYPE, PTID, MIT\_GEN\_GROUP**

**SECTION 13.3.2.2 RESPONSE PARAMETERS**

The response to an upload consists of a header that describes which upload was requested, when it was processed and how many rows were successfully processed. A message will also appear if an error occurred. Following the header will be the detail, which will consist of one row per row successfully processed.

**AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, OFFER\_MONTH\_YEAR, LOCATION, OFFER\_MW, OFFER\_AMOUNT, PTID\_TYPE, PTID, MIT\_GEN\_GROUP**

**SECTION 13.3.2.3 REQUEST FILE EXAMPLE**

```
TRAN_TYPE=UCAP_UPLOAD_OFFER&
USERID=webuser&
PASSWORD=webuser&
DATA_ROWS=1&
strip,04/2004,05/2004,ROS,50.1,123.45,,GEN_GROUP_A
```

**SECTION 13.3.2.4 RESPONSE FILE EXAMPLE**

```
TIME_STAMP=03/05/2004 15:20:49
TRAN_TYPE=UCAP_UPLOAD_OFFER
DATA_ROWS=1
strip, 04/2004,05/2004,ROS,50.1,123.45,,GEN_GROUP_A
```

**SECTION 13.3.3 DOWNLOAD OFFERS TEMPLATE**

```
TRAN_TYPE=UCAP_DOWNLOAD_OFFER
```

**SECTION 13.3.3.1 REQUEST PARAMETERS**

**AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, OFFER\_MONTH\_YEAR**

**SECTION 13.3.3.2 RESPONSE PARAMETERS**

**AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, OFFER\_MONTH\_YEAR, LOCATION, OFFER\_MW, OFFER\_AMOUNT, PTID, MIT\_GEN\_GROUP, LAST\_UPDATE\_USER, LAST\_UPDATE\_DATE**

SECTION 13.3.3.3 REQUEST FILE EXAMPLE  
TRAN\_TYPE=UCAP\_DOWNLOAD\_OFFER&  
USERID=webuser&  
PASSWORD=webuser&  
AUCTION\_TYPE=monthly&  
AUCTION\_MONTH\_YEAR=05/2004&  
OFFER\_MONTH\_YEAR=07/2004&

SECTION 13.3.3.4 RESPONSE FILE EXAMPLE  
TIME\_STAMP=07/26/2003 14:10  
TRAN\_TYPE=UCAP\_DOWNLOAD\_OFFER  
DATA\_ROWS=1  
"monthly","05/2004","07/2004","ROS",50.1,123.45,"",,"GEN\_GROUP\_A","webuser","13-Apr-2004 02:09 PM"

## SECTION 13.4 RECORD LOAD FORECASTS

## SECTION 13.4.1 DATA DICTIONARY

Parameter	Type	Description
LSE	CHAR(8)	Load Serving Entity organization short name.
LOCATION	CHAR(10)	In-City, On-Island or TD
FORECAST_DATE	CHAR(10)	For Upload Requests & Responses and Download Responses:  If FORECAST_TYPE=ESTLOAD: MM/01/YYYY  If FORECAST_TYPE=LOADSHIFT or TRUEUP: MM/DD/YYYY  For Download Requests: MM/YYYY
LOAD_FORECAST_TYPE	CHAR(8)	For Upload Requests and Responses: ACTUAL  For Download Requests and Responses: ESTIMATE or ACTUAL.  ESTIMATE indicates an estimated forecast used to estimate an LSE's UCAP requirement before each Capability Period's Strip Auction.
FORECAST_TYPE	CHAR(10)	ESTLOAD (monthly forecasted load), LOADSHIFT (initial daily load), TRUEUP (final daily load)
FORECAST	NUM(9,3)	Depending on FORECAST_TYPE, this field could represent a load forecast, initial daily load or final daily load value. Cannot have more than 1 decimal place when FORECAST_TYPE=ESTLOAD.
FIXED_LOAD	NUM(7,1)	LSE fixed load forecast for the Transmission Owner and LSE combination as set by the NYISO.
UCAP_REQ	NUM(7,1)	UCAP Requirements
LOAD_FORECAST	NUM(7,1)	Monthly load forecast number.
DAILY_LOAD	NUM(9,3)	Initial Daily Load (Load Shift) numbers.
TRUE_UP	NUM(9,3)	Final Daily Load (True Up) numbers.

Parameter	Type	Description
LAST_UPDATE_USER	CHAR	Last person to update row.
LAST_UPDATE_DATE	CHAR	DD-Mmm-YYYY hh:mm AM/PM DD = 01 – 31 (day) Mmm = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute) Date row last updated (ex: "09-Feb-2004 02:34 PM").

## SECTION 13.4.2 UPLOAD LOAD FORECASTS

TRAN\_TYPE=UCAP\_UPLOAD\_LOADFORECAST

Typically, a Transmission Owner will submit the monthly forecast (ESTLOAD) data for all of their LSE's at one time, but the upload template will not force them to submit all of their data at once. They will be able to submit forecast data for any number of LSE's in a single upload file. Additionally, the upload will allow TOs to update previously submitted data, as long as submittal period is still open.

Additionally, this template will support uploading initial (LOADSHIFT) and final (TRUEUP) daily load data. Again, this will be allowed as long as their respective submittal periods are still open. For initial and final daily load data, however, the user must submit data for every day of the submittal month. Also, initial and final daily load data can only be submitted for months that already have actual (ACTUAL) monthly forecasted load entered.

### SECTION 13.4.2.1 REQUEST PARAMETERS

**LSE, LOCATION, FORECAST\_DATE, FORECAST\_TYPE, LOAD\_FORECAST\_TYPE, FORECAST**

### SECTION 13.4.2.2 RESPONSE PARAMETERS

The response to an upload consists of a header that describes which upload was requested, when it was processed, and how many rows were successfully processed. A message will also appear if an error occurred. Following the header will be the detail, which will consist of one row per row successfully processed.

LSE, LOCATION, FORECAST\_DATE, FORECAST\_TYPE, LOAD\_FORECAST\_TYPE, FORECAST

### SECTION 13.4.2.3 REQUEST FILE EXAMPLE

```
TRAN_TYPE=UCAP_UPLOAD_LOADFORECAST&
USERID=webuser&
PASSWORD=webuser&
DATA_ROWS=1&
lse_1,TD,04/01/2004,ESTLOAD,ACTUAL,123.5
```

**SECTION 13.4.2.4 RESPONSE FILE EXAMPLE**

TIME\_STAMP=03/05/2004 15:20  
TRAN\_TYPE=UCAP\_UPLOAD\_LOADFORECAST  
DATA\_ROWS=1  
"lse\_1","TD","04/01/2004","ESTLOAD","ACTUAL",123.5

**SECTION 13.4.3 DOWNLOAD LOAD FORECASTS**

TRAN\_TYPE=UCAP\_DOWNLOAD\_LOAD\_FORECAST

**SECTION 13.4.3.1 REQUEST PARAMETERS**

**FORECAST\_DATE, LSE, LOCATION, LOAD\_FORECAST\_TYPE**

**SECTION 13.4.3.2 RESPONSE PARAMETERS**

LSE, LOCATION, FORECAST\_DATE, LOAD\_FORECAST\_TYPE, LOAD\_FORECAST,  
FIXED\_LOAD, UCAP\_REQ, DAILY\_LOAD, TRUE\_UP, LAST\_UPDATE\_USER,  
LAST\_UPDATE\_DATE

**SECTION 13.4.3.3 REQUEST FILE EXAMPLE**

TRAN\_TYPE=UCAP\_DOWNLOAD\_LOADFORECAST&  
USERID=webuser&  
PASSWORD=webuser&  
FORECAST\_DATE=05/2004&  
LSE=lse\_1&  
LOCATION=TD&  
LOAD\_FORECAST\_TYPE=actual

**SECTION 13.4.3.4 RESPONSE FILE EXAMPLE**

TIME\_STAMP=07/26/2004 14:10  
TRAN\_TYPE=UCAP\_DOWNLOAD\_LOADFORECAST  
DATA\_ROWS=31  
"lse\_1","TD","05/01/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004  
12:31 PM"  
"lse\_1","TD","05/02/2004","Actual",100.1,120.1,246.4,100.228,100.193,"webuser","10-Apr-2004  
12:31 PM"  
"lse\_1","TD","05/03/2004","Actual",100.1,120.1,246.4,100.219,100.193,"webuser","10-Apr-2004  
12:31 PM"  
"lse\_1","TD","05/04/2004","Actual",100.1,120.1,246.4,100.218,100.194,"webuser","10-Apr-2004  
12:31 PM"  
"lse\_1","TD","05/05/2004","Actual",100.1,120.1,246.4,100.218,100.195,"webuser","10-Apr-2004  
12:31 PM"  
"lse\_1","TD","05/06/2004","Actual",100.1,120.1,246.4,100.218,100.189,"webuser","10-Apr-2004  
12:31 PM"  
"lse\_1","TD","05/07/2004","Actual",100.1,120.1,246.4,100.234,100.192,"webuser","10-Apr-2004  
12:31 PM"  
"lse\_1","TD","05/08/2004","Actual",100.1,120.1,246.4,100.218,100.167,"webuser","10-Apr-2004  
12:31 PM"  
"lse\_1","TD","05/09/2004","Actual",100.1,120.1,246.4,100.218,100.167,"webuser","10-Apr-2004  
12:31 PM"

"Ise\_1","TD","05/10/2004","Actual",100.1,120.1,246.4,100.218,100.167,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/11/2004","Actual",100.1,120.1,246.4,100.218,100.178,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/12/2004","Actual",100.1,120.1,246.4,100.200,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/13/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/14/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/15/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/16/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/17/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/18/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/19/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/20/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/21/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/22/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/23/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/24/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/25/2004","Actual",100.1,120.1,246.4,100.218,100.200,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/26/2004","Actual",100.1,120.1,246.4,100.218,100.199,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/27/2004","Actual",100.1,120.1,246.4,100.257,100.198,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/28/2004","Actual",100.1,120.1,246.4,100.257,100.195,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/29/2004","Actual",100.1,120.1,246.4,100.218,100.191,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/30/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"  
"Ise\_1","TD","05/31/2004","Actual",100.1,120.1,246.4,100.232,100.192,"webuser","10-Apr-2004 12:31 PM"

## SECTION 13.5 CERTIFY

## SECTION 13.5.1 DATA DICTIONARY

Parameter	Type	Description
MONTH	CHAR(8)	Name of month within capability season. (MM/YYYY)
TYPE	CHAR(50)	For Download Bilaterals, indicates type of bilateral: PURCHASE or SALE  For Download Certification Details: I (import) or U (UDR)  For Download Summary of Purchases and Sales: "Purchase – Bilateral Agreements", "Sale – Bilateral Agreements", "Purchase – Monthly Auction Purchases – <i>MMM</i> ", "Sale – Monthly Auction Sales – <i>MMM</i> ", "Purchase – Strip Auction Purchases", "Sale – Strip Auction Sales", "Purchase – Spot Auction Purchases", or "Sale – Spot Auction Sales"  where: <i>MMM</i> = JAN – DEC (auction month)
LOCATION	CHAR(3)	NYC, LI, ROS, HQ, PJM, IMO, NE
SEC_PARTY_LOCATION	CHAR(3)	NYC, LI, ROS, HQ, PJM, IMO, NE
SEC_PARTY	CHAR(100)	For Download Bilaterals: Name of second party to bilateral  For Download Certification Details: Name of second party to bilateral, or Auction type: "Strip Auction", " <i>Mmm</i> Monthly Auction"  where: <i>Mmm</i> = Jan – Dec (auction month)
RIGHT_NBR	NUM(8)	Number associated with either an Import Right or UDR.
MIT_GEN_GROUP	CHAR(50)	Name of Mitigated Generator Group tied to location selected.

Parameter	Type	Description
MW	NUM(9,3)	Number of MW's either purchased or sold on the bilateral agreement or through an auction.
PURCHASED_MW	NUM(9,3)	Purchased MW for bilateral agreements or auctions.
SOLD_MW	NUM(9,3)	Sold MW for bilateral agreements or auctions.
CONF_MP	CHAR(1)	Indicates if the MP has confirmed the bilateral. (Y or N)
CONF_SEC_PARTY	CHAR(1)	Indicates if the second party has confirmed the bilateral. (Y or N)
PTID	NUM(8)	Uniquely identifies a generation unit.
PTID_NAME	CHAR(20)	Name of the PTID
AVAIL_SALE	NUM(7,1)	Available for sale UCAP. Capacity of the PTID for the month specified.
PTID_SALES	NUM(7,1)	Allocated Auction and Bilateral Sales. Amount of sales to allocate to the PTID for the month.
DMNC	NUM(7,1)	Capacity of the PTID
EFORD	NUM(5,4)	Effective forced outage percentage rate for the PTID for the month selected (value between 0.0000 and 1.0000)
SUPP_SALES	NUM(7,1)	Supplemental Sales entered by the NYISO in the auction module.
UNSOLD	NUM(7,1)	Calculated as (Available for sale UCAP) minus (Auction and Bilateral Sales plus Supplemental Sales).
ICAP_DAM	NUM(7,1)	Calculated as (Auction and Bilateral Sales plus Supplemental Sales) divided by (1 minus the decimal equivalent of the EFORD).
LAST_UPDATE_USER	CHAR	Last person to update row. [Can be blank in Download Certification Details for auction capacity purchases and sales.]

Parameter	Type	Description
LAST_UPDATE_DATE	CHAR	DD-Mmm-YYYY hh:mm AM/PM  DD = 01 – 31 (day) Mmm = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute)  Date row last updated (ex: "09-Feb-2004 02:34 PM"). [Can be blank in Download Certification Details for auction capacity purchases and sales.]

### SECTION 13.5.2 DOWNLOAD BILATERALS

TRAN\_TYPE=UCAP\_DOWNLOAD\_BILATERALS

#### SECTION 13.5.2.1 REQUEST PARAMETERS

**MONTH**

#### SECTION 13.5.2.2 RESPONSE PARAMETERS

MONTH, TYPE, LOCATION, SEC\_PARTY, RIGHT\_NBR, MIT\_GEN\_GROUP, MW, CONF\_MP, CONF\_SEC\_PARTY, LAST\_UPDATE\_USER, LAST\_UPDATE\_DATE

#### SECTION 13.5.2.3 REQUEST FILE EXAMPLE

TRAN\_TYPE=UCAP\_DOWNLOAD\_BILATERALS&  
USERID=webuser&  
PASSWORD= webuser&  
MONTH=06/2004

#### SECTION 13.5.2.4 RESPONSE FILE EXAMPLE

TIME\_STAMP=11/26/2004 14:10  
TRAN\_TYPE=UCAP\_DOWNLOAD\_BILATERALS  
DATA\_ROWS=1  
"06/2004","PURCHASE","ROS","Party A",,"Mit Gen Group A",100.1,"Y","Y","webuser","10-May-2004 12:31 PM"

### SECTION 13.5.3 DOWNLOAD CERTIFICATION DETAIL TRANSACTIONS

TRAN\_TYPE=UCAP\_DOWNLOAD\_CERT\_DETAIL

#### SECTION 13.5.3.1 REQUEST PARAMETERS

**MONTH, LOCATION**

#### SECTION 13.5.3.2 RESPONSE PARAMETERS

MONTH, LOCATION, SEC\_PARTY\_LOCATION, SEC\_PARTY, RIGHT\_NBR, TYPE, MIT\_GEN\_GROUP, PURCHASED\_MW, SOLD\_MW, LAST\_UPDATE\_USER, LAST\_UPDATE\_DATE

**SECTION 13.5.3.2 REQUEST FILE EXAMPLE**

```
TRAN_TYPE=UCAP_DOWNLOAD_CERT_DETAILS&  
USERID=webuser&  
PASSWORD=webuser&  
MONTH=06/2004  
LOCATION=ROS
```

**SECTION 13.5.3.4 RESPONSE FILE EXAMPLE**

```
TIME_STAMP=07/26/2004 14:10  
TRAN_TYPE=UCAP_DOWNLOAD_CERT_DETAILS  
DATA_ROWS=2  
"06/2004","ROS","Party A",,,,"",100.1,,"webuser","10-Apr-2004 12:31 PM"  
"06/2004","ROS","Strip Auction",,,,"",312.3,,""
```

**SECTION 13.5.4 DOWNLOAD SUMMARY OF PURCHASES AND SALES**

```
TRAN_TYPE=UCAP_DOWNLOAD_PURCHASES_SALES
```

This template will return data in the same order that it is presented on its corresponding web page – sales data first, followed by purchases data. The value of the TYPE column will identify whether the row in the CSV response is a sale or purchase.

**SECTION 13.5.4.1 REQUEST PARAMETERS**

**MONTH**

**SECTION 13.5.4.2 RESPONSE PARAMETERS**

MONTH, TYPE, LOCATION, MIT\_GEN\_GROUP, MW

**SECTION 13.5.4.3 REQUEST FILE EXAMPLE**

```
TRAN_TYPE=UCAP_DOWNLOAD_PURCHASE_SALES&  
USERID=webuser&  
PASSWORD=webuser&  
MONTH=06/2004
```

**SECTION 13.5.4.4 RESPONSE FILE EXAMPLE**

```
TIME_STAMP=07/26/2004 14:10  
TRAN_TYPE=UCAP_DOWNLOAD_PURCHASE_SALES  
DATA_ROWS=2  
"06/2004","Purchase – Bilateral Agreements","ROS","Mit Gen Group A",100.1  
"06/2004","Sale – Strip Auction Sales","ROS",,,312.3
```

**SECTION 13.5.5 DOWNLOAD PTID CAPACITY**

```
TRAN_TYPE=UCAP_DOWNLOAD_PTID_CAPACITY
```

**SECTION 13.5.6.1 REQUEST PARAMETERS**

**MONTH**

**SECTION 13.5.6.2 RESPONSE PARAMETERS**

MONTH, PTID, PTID\_NAME, LOCATION, MIT\_GEN\_GROUP, DMNC, EFORD, AVAIL\_SALE,  
PTID\_SALES, SUPP\_SALES, UNSOLD, ICAP\_DAM, LAST\_UPDATE\_DATE,  
LAST\_UPDATE\_USER

**SECTION 13.5.6.3 REQUEST FILE EXAMPLE**

TRAN\_TYPE=UCAP\_DOWNLOAD\_PTID\_CAPACITY&  
USERID=webuser&  
PASSWORD=webuser&  
MONTH=06/2004

**SECTION 13.5.6.4 RESPONSE FILE EXAMPLE**

TIME\_STAMP=07/26/2004 14:10  
TRAN\_TYPE= UCAP\_DOWNLOAD\_PTID\_CAPACITY  
DATA\_ROWS=1  
"06/2004",123456,"Generator xyz","NYC","Mit Gen Group  
A",104.0,0.0545,100.1,50.0,25.0,25.1,79.3

## SECTION 13.6 DMNC

## SECTION 13.6.1 DATA DICTIONARY

Parameter	Type	Description
SEASON	CHAR(6)	Name of capability season when the DMNC/PMPC test was performed: SUMMER or WINTER
CAP_YEAR	NUM(4)	Capability year (YYYY) when the DMNC/PMPC test was performed. The combination of SEASON and CAP_YEAR together specify a unique season, for example, WINTER 2004, which represents the winter season of 2004/2005.
TEST_TYPE	CHAR(4)	DMNC or PMPC
PTID	NUM(8)	Uniquely identifies a generation unit.
TEST_DATE	CHAR(10)	Date of test. MM/DD/YYYY
BEGIN_HR	NUM(2)	Beginning hour of test. 00 –23
AVG_AMB_TEMP	NUM(5,2)	The four year average temperature for a generator for the peak day and hour (of like-seasons) of the Transmission Owner where the generator resides.
PRE_TEST_RATING	NUM(7,1)	Previous like season post-test rating
TEST_TEMP	NUM(5,2)	Temperature when DMNC/PMPC test was performed.
DMNC1	NUM(7,1)	Hour 1 test output.
DMNC2	NUM(7,1)	Hour 2 test output.
DMNC3	NUM(7,1)	Hour 3 test output.
DMNC4	NUM(7,1)	Hour 4 test output.
PER_CURVE	NUM(7,1)	DMNC/PMPC rating determined using manufacturer's temperature adjustment curves.
EFF_DATE	CHAR(10)	Date (of auction month) to begin using the DMNC/PMPC data (ex: for the test to be effective starting with the May 2004 auctions held in April 2004, specify 05/01/2004). MM/DD/YYYY

Parameter	Type	Description
REMARKS	CHAR(100)	Free Format Comments (cannot contain commas)
GEN_TYPE	CHAR(50)	Generation type associated with the PTID: COMBUSTION, COMBINED CYCLE, HYDRO, FOSSIL FUEL, NUCLEAR STEAM, INTERMITTENT, ENERGY LIMITED, or OTHER
PTID_TYPE	CHAR(8)	PTID type: INTERNAL, EXTERNAL, or SCR
STATUS	CHAR(10)	Test approval status (performed by the NYISO): APPROVED, UNAPPROVED, UNDECIDED
LAST_UPDATE_USER	CHAR	Last person to update row.
LAST_UPDATE_DATE	CHAR	DD-Mmm-YYYY hh:mm AM/PM  DD = 01 – 31 (day) Mmm = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute)  Date row last updated (ex: "09-Feb-2004 02:34 PM").

## SECTION 13.6.2 UPLOAD DMNC RESULTS

TRAN\_TYPE=UCAP\_UPLOAD\_DMNC

### SECTION 13.6.2.1 REQUEST PARAMETERS

#### PTID IS SCR

Not all fields are required when the specified PTID is for a SCR. The required fields are listed below in bold. Additionally, at least one and possibly all four DMNC test results are required, based on the requirements of the specified SCR.

**SEASON, CAP\_YEAR, TEST\_TYPE, PTID, TEST\_DATE, BEG\_HR, AVG\_AMB\_TEMP, PRE\_TEST\_RATING, TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, PER\_CURVE, EFF\_DATE, REMARKS**

#### PTID IS GENERATOR

The Number of hours of test data required and whether the two temperature fields, AVG\_AMB\_TEMP and TEST\_TEMP, are required vary by the Generation Type of the unit:

GEN\_TYPE = COMBUSTION (only **1 hour** of testing data is **required**;  
AVG\_AMB\_TEMP and TEST\_TEMP are **required**):

**SEASON, CAP\_YEAR, TEST\_TYPE, PTID, TEST\_DATE, BEG\_HR,  
AVG\_AMB\_TEMP, PRE\_TEST\_RATING<sup>1</sup>, TEST\_TEMP, DMNC1, DMNC2,  
DMNC3, DMNC4, PER\_CURVE, EFF\_DATE, REMARKS**

GEN\_TYPE = COMBINED CYCLE (**4 hours** of testing data are **required**;  
AVG\_AMB\_TEMP and TEST\_TEMP are **required**):

**SEASON, CAP\_YEAR, TEST\_TYPE, PTID, TEST\_DATE, BEG\_HR,  
AVG\_AMB\_TEMP, PRE\_TEST\_RATING<sup>1</sup>, TEST\_TEMP, DMNC1, DMNC2,  
DMNC3, DMNC4, PER\_CURVE, EFF\_DATE, REMARKS**

GEN\_TYPE = HYDRO, FOSSIL FUEL, NUCLEAR STEAM, INTERMITTENT,  
ENERGY LIMITED, or OTHER (**4 hours** of testing data are **required**;  
AVG\_AMB\_TEMP and TEST\_TEMP are **optional**):

**SEASON, CAP\_YEAR, TEST\_TYPE, PTID, TEST\_DATE, BEG\_HR,  
AVG\_AMB\_TEMP, PRE\_TEST\_RATING<sup>1</sup>, TEST\_TEMP, DMNC1, DMNC2,  
DMNC3, DMNC4, PER\_CURVE, EFF\_DATE, REMARKS**

#### SECTION 13.6.2.2 RESPONSE PARAMETERS

The response to an upload consists of a header that describes which upload was requested, when it was processed, and how many rows were successfully processed. A message will also appear if an error occurred. Following the header will be the detail, which will consist of one row per row successfully processed.

SEASON, CAP\_YEAR, TEST\_TYPE, PTID, TEST\_DATE, BEG\_HR, AVG\_AMB\_TEMP,  
PRE\_TEST\_RATING, TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, PER\_CURVE,  
EFF\_DATE, REMARKS

#### SECTION 13.6.2.3 REQUEST FILE EXAMPLE

```
TRAN_TYPE=UCAP_UPLOAD_DMNC&
USERID=webuser&
PASSWORD=webuser&
DATA_ROWS=1
Winter,2004,DMNC,123456,01/01/2004,06,30.01,100,38.45,100.1,,,,,100.5,04/22/2004,Test
```

#### SECTION 13.6.2.4 RESPONSE FILE EXAMPLE

<sup>1</sup> PRE\_TEST\_RATING is required only if no post-test rating exists for last previous like capability season.

---

TIME\_STAMP=03/05/2004 15:20  
TRAN\_TYPE=UCAP\_UPLOAD\_DMNC  
DATA\_ROWS=1  
"Winter",2004,"DMNC",123456,"01/01/2004",06,30.01,100,38.45,100.1,,,,100.5,"04/22/2004","Test"

### SECTION 13.6.3 DOWNLOAD DMNC RESULTS

TRAN\_TYPE=UCAP\_DOWNLOAD\_DMNC

#### SECTION 13.6.3.1 REQUEST PARAMETERS

**SEASON, CAP\_YEAR, PTID\_TYPE, TEST\_TYPE, GEN\_TYPE**

#### SECTION 13.6.3.2 RESPONSE PARAMETERS

SEASON, CAP\_YEAR, GEN\_TYPE, PTID\_TYPE, TEST\_TYPE, PTID, TEST\_DATE, BEG\_HR, AVG\_AMB\_TEMP, PRE\_TEST\_RATING, TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, PER\_CURVE, EFF\_DATE, REMARKS, STATUS, LAST\_UPDATE\_USER, LAST\_UPDATE\_DATE

#### SECTION 13.6.3.3 REQUEST FILE EXAMPLE

TRAN\_TYPE=UCAP\_DOWNLOAD\_DMNC&  
USERID=webuser&  
PASSWORD=webuser&  
SEASON=WINTER&  
CAP\_YEAR=2004

#### SECTION 13.6.3.4 RESPONSE FILE EXAMPLE

TIME\_STAMP=07/26/2004 14:10  
TRAN\_TYPE=UCAP\_DOWNLOAD\_DMNC  
DATA\_ROWS=1  
"WINTER",2004,"HYDRO","Internal","DMNC",123456,"01/01/2004",06,30.01,100,38.45,100.1,,,,100.5,"04/22/2004","Test","APPROVED","webuser","05-Mar-2004 03:20 PM"